

Department Series Report

18: Administrative & Financial Services

| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status |
|--|----------------|--------------|---|----------------------|--------------|-------------------|
| 106#: | | | | | | |
| Schedule #: 1997 1#:General Correspondence (Department of Administration) | | | | | | |
| Inter-departmental memoranda, requests for information, answers to requests for information, drafts for Governor's correspondence and other department drafts. | Paper | 1/25/1990 | Years | 1 | No Retention | 0 Destroy Current |
| 119#:Accounts & Control | | | | | | |
| Schedule #: 7 1#:Vendor's Files (Paid Bills) | | | | | | |
| Original vendor's invoice, third copy of purchase order, original freight invoices, original expense accounts, original telephone bills, associated hospital bills, credit card gas and oil slips, accounts payable, medicare and drug bills, third copy of remittance advice and memo or correspondence relating thereto. Note: Retain 30 days in agency, until audit and certification of K&A | CD | 7/27/2000 | Years | 7 | No Retention | 0 Destroy Current |
| Original vendor's invoice, third copy of purchase order, original freight invoices, original expense accounts, original telephone bills, associated hospital bills, credit card gas and oil slips, accounts payable, medicare and drug bills, third copy of remittance advice and memo or correspondence relating thereto. Note: Security copy of microfilm to be retained 7 years in Records Center. | Roll Microfilm | 9/2/1986 | Years | 7 | No Retention | 0 Destroy Current |
| Original vendor's invoice, third copy of purchase order, original freight invoices, original expense accounts, original telephone bills, associated hospital bills, credit card gas and oil slips, accounts payable, medicare and drug bills, third copy of remittance advice and memo or correspondence relating thereto. Note: Retain 30 days in agency, until audit and certification of image; then destroy. | Paper | 9/2/1986 | Retention of Less than 1 Year - See Description | 0 | No Retention | 0 Destroy Current |
| Schedule #: 7 2#:Income Statement of Treasure's Deposits to Various Banks | | | | | | |
| Pink copy of income statement, filed by Treasurer's number and alphabetically by departments. | CD | 7/27/2000 | Years | 7 | No Retention | 0 Destroy Current |
| Pink copy of income statement, filed by Treasurer's number and alphabetically by departments. Note: this series is being administratively re-activated until an amendment can be processed, because audit requirements preclude destruction of these materials (as General Schedule 4 would otherwise require). | Roll Microfilm | 1/13/1989 | Years | 7 | No Retention | 0 Destroy Current |

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|---|-------------------------------------|--------------|---|----------------------|--------------|--------|---------|---------|
| Pink copy of income statement, filed by Treasurer's number and alphabetically by departments. Image and verify then destroy paper. | Paper | 1/4/1989 | Retention of Less than 1 Year - See Description | 0 | No Retention | 0 | Destroy | Current |
| | | | | | | | | |
| Schedule #: 7 | 5#:Journal Detail | | | | | | | |
| Bills for extended medical care in state hospitals which are totaled and paid by one journal entry. Obsolete per Joseph Shaw 3/23/99. | Paper | 6/7/1974 | Years | 2 | Years | 5 | Destroy | Current |
| | | | | | | | | |
| Schedule #: 7 | 7#:Summary of Appropriation | | | | | | | |
| A summary of income and expenditures by appropriation number. June and December are not to be destroyed. | Computer Output Microfilm | 2/16/1989 | Years | 0 | Years | 7 | Destroy | Current |
| | | | | | | | | |
| Schedule #: 7 | 9#:Expenses by Character and Object | | | | | | | |
| Bound volumes of summaries of expenses by character and object. Totaled on analysis sheet. | Computer Output Microfilm | 2/16/1989 | Years | 0 | Years | 7 | Destroy | Current |
| | | | | | | | | |
| Schedule #: 56 | 16#:Monthly Payment Run | | | | | | | |
| Monthly computer run for payments to World War Vets, Soldiers Pensions, Educational Subsidies, ESEA, Disabled Veterans, Old Age, WIN Program, Foster Care, Indian Affairs, Unwed Mothers, Canteen Fund, Committed Children, Nursing Homes, ADC Special and New Reimbursements, Vocational Rehab and Eye Care, Public Assistance, new and retroactive. | Computer Printout | 11/8/1982 | Years | 2 | Years | 4 | Destroy | Current |
| | | | | | | | | |
| Schedule #: 56 | 19#:Journals | | | | | | | |

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| Inter-office document to effect paper transfer of funds and expenditures from one agency to another. Also used to correct coding errors and to show reduction of employee earnings and to reinstate funds to department when payroll or other checks are returned. Current entries for purchase orders, placed and paid for all other, capital, and Personal Services, adjusting entries on half of page, next half above shows balance of available allotment, PO outstanding, personal services, all other and capital expenditures, total expenditures and total allotment; Trust Funds Ledger showing detail of interest received on trust fund; Balance Sheet showing detail of debit and credit for different funds. All information posted to General Ledger in summary form. Keep in agency until imaged and verified. | Paper | 7/27/2000 | Variable - See Description | 0 | Years 0 | Destroy Current |
| Inter-office document to effect paper transfer of funds and expenditures from one agency to another. Also used to correct coding errors and to show reduction of employee earnings and to reinstate funds to department when payroll or other checks are returned. Current entries for purchase orders, placed and paid for all other, capital, and Personal Services, adjusting entries on half of page, next half above shows balance of available allotment, PO outstanding, personal services, all other and capital expenditures, total expenditures and total allotment; Trust Funds Ledger showing detail of interest received on trust fund; Balance Sheet showing detail of debit and credit for different funds. All information posted to General Ledger in summary form. Paper is destroyed after imaging is verified. | CD | 7/27/2000 | Variable - See Description | 7 | Years 0 | Destroy Current |
| Schedule #: 56 23#:Monthly Trial Balance Total State | | | | | | |
| Monthly Trail Balance on all ledgers for the State. Obsolete per Joseph Shaw 3/23/99. | Paper | 11/27/1974 | Years | 10 | Years 10 | Destroy Current |
| Schedule #: 70 29#:Payroll Deduction Authorization Cards | | | | | | |
| Credit Union, MSEA, W-4, Bond - authorizations signed by employee to have deductions from payroll. Direct deposit authorization, MSECCA. Retain until separation of employee or until updated (superseded by revised authorization). | Paper | 2/8/1995 | Destroy When Updated | 0 | No Retention 0 | Destroy Current |
| Schedule #: 70 31#:Savings Bonds Correspondence | | | | | | |
| All correspondence and bill heads to do with bond purchasing, cancellation, refunds and other savings bonds matters. | Paper | 1/17/1975 | Years | 3 | Years 4 | Destroy Current |
| Schedule #: 70 32#:Accounts Payable | | | | | | |

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|--|---|--------------|---|----------------------|--------------|--------|---------|---------|
| Copy of accounts of checks turned in to Blue Cross-Blue Shield, Bank of Maine bonds, Cumberland County Credit Union, Council # 74, Union Mutual for payroll deduction. Destroy paper after film is verified. | Paper | 2/16/1989 | Retention of Less than 1 Year - See Description | 0 | No Retention | 0 | Destroy | Current |
| Copy of accounts of checks turned in to Blue Cross-Blue Shield, Bank of Maine bonds, Cumberland County Credit Union, Council # 74, Union Mutual for payroll deduction. | Computer Output Microfilm | 2/16/1989 | Years | 2 | Years | 60 | Destroy | Current |
| Schedule #: 95 | 36#:Employee Earnings Update | | | | | | | |
| Computer printout printed monthly to show total payroll earnings update. | Computer Printout | 4/4/1975 | Years | 5 | No Retention | 0 | Destroy | Current |
| Schedule #: 98 | 39#:General Correspondence - Accounts and Control | | | | | | | |
| Incoming and outgoing memo and correspondence dealing with state departments and controllers function. | Paper | 4/8/1975 | Years | 5 | No Retention | 0 | Destroy | Current |
| Schedule #: 119 | 57#:Aging of Accounts Receivables | | | | | | | |
| Uncollected receivables turned over to Attorney General for collection. | Paper | 5/13/1975 | Years | 5 | No Retention | 0 | Destroy | Current |
| Schedule #: 167 | 13#:Public Assistance Check Register | | | | | | | |
| Monthly relief payrolls for payment to AFDC, Aid to Aged, Blind and Disabled. | Roll Microfilm | 11/8/1982 | Years | 2 | Years | 6 | Destroy | Current |
| Schedule #: 167 | 25#:Income Tax Refund | | | | | | | |
| Check register of weekly refund payments. | Computer Output Microfilm | 11/8/1982 | Years | 2 | Years | 5 | Destroy | Current |
| Schedule #: 209 | 62#:Medicaid Runs & Invoices | | | | | | | |

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| Medicaid runs sent to Accounts and Control by Human Services: bills sent to the State for payment from doctors, hospitals, ambulance services, etc. Retain in office 2 months. | Computer Output Microfilm | 2/16/1989 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 235 64#:Child Health Payments Bills | | | | | | |
| Bills and runs. The run is prepared by Health and Welfare and sent to Pre-Audit for payment and check processing. Bill and run filed together. | Computer Output Microfilm | 2/16/1989 | Years | 0 | Years 4 | Destroy Current |
| Schedule #: 437 12#:Payroll Registers - Paid Copy | | | | | | |
| Actual paid copy of payroll registers, contains all paycheck information for each state employee. Destroy after 1 month. | Microfiche | 1/23/1986 | Retention of Less than 1 Year - See Description | 0 | No Retention 0 | Destroy Current |
| Schedule #: 437 40#:U.S. Savings Bonds | | | | | | |
| Listing of all employees purchasing U.S. Savings Bonds, names, addresses, and amounts purchased by each employee. Retain 4 months in agency, then as below. | Microfiche | 1/23/1986 | Retention of Less than 1 Year - See Description | 0 | Years 60 | Destroy Current |
| Schedule #: 437 42#:Numeric YTD Listing | | | | | | |
| Computer output microfiche - numeric list of all State employees. Contains Social Security number, name of employee, latest date paid, gross wages, amounts of federal and state tax withheld, deferred compensation deducted, and appropriation number from which last salary was paid. | Computer Output Microfilm | 1/23/1986 | Years | 3 | No Retention 0 | Destroy Current |
| Schedule #: 437 61#:1099 - Miscellaneous Income Statements | | | | | | |
| Contains all people who were issued 1099's by the State of Maine. Retain in agency 4 months, then as below. Reference Schedule 153, Series 61. | Roll Microfilm | 1/23/1986 | Retention of Less than 1 Year - See Description | 0 | Years 60 | Destroy Current |

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| Schedule #: 437 69#:Quarterly Wage Reports Listing of all employees' wages by quarter. Keep in agency 18 months. | Computer Printout | 2/8/1995 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 437 70#:Employee Quarterly History by Umbrella A listing by Social Security number of all State employees' pay histories by department umbrella number in a quarterly group; State sa e information as would be found on biweekly payroll registers. Obsolete per Joseph Shaw 3/23/99. | Computer Output Microfilm | 1/23/1986 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 437 71#:P/R Health Ins. Exceptions Lists all payroll Blue Cross deductions and exceptions to the monthly Blue Cross billings. Retain 4 months in agency, then as below. | Microfiche | 1/23/1986 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 898 72#:Bank Reconciliation All check numbers written for previous weeks. Keep in agency 3 months. | Computer Output Microfilm | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years 7 | Destroy | Current |
| Schedule #: 898 73#:A-103 - Obligation vs. Budget Detail listing of all obligations vs. budget to let agencies see if their expenditures are within budgeted figures. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years 7 | Destroy | Current |
| Schedule #: 898 74#:Account Structure by Check Sequence Gives Fund - Agency - Org. (acct. structure) by check sequence. Check numbers are in number order. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years 7 | Destroy | Current |

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| Schedule #: 898 75#:A-203 Detail Listing of Revenues for Fiscal Year | | | | | | |
| Lists all revenues vs. budget for fiscal year. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years | 7 Destroy | Current |
| Schedule #: 898 76#:A-270 Revenue Source Summary of Revenues vs. Budget across agencies | | | | | | |
| Gives summary of revenues vs. budget across agencies. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years | 7 Destroy | Current |
| Schedule #: 898 77#:A-501 Agency Obligations vs. Expense Budget Appropriations. & Allotments | | | | | | |
| Listing to give revenue collected and recognized. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years | 7 Destroy | Current |
| Schedule #: 898 78#:A-614 Summary Trial Balance by Fund for Budget - Fiscal Year | | | | | | |
| Shows trial balance - and that all accounts are balanced. 3 months in agency. | Microfiche | 12/12/1990 | Years | 60 No Retention | Destroy | Current |
| Shows trial balance - and that all accounts are balanced. 3 months in agency. | Microfiche | 12/12/1990 | | Years | 60 Destroy | Current |
| Schedule #: 898 79#:A-616 Bank Account Transaction Listing | | | | | | |
| Listing of all transactions by bank and check order. 3 months in agency. | Computer Output Microfilm | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 Years | 7 Destroy | Current |
| Schedule #: 898 80#:A-820 Internal Billing Activity | | | | | | |

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| Gives listing of internal billings for the state by agencies. 3 months in agency. | Paper | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 899 81#:B-910 Appropriation Revenue Report | | | | | | |
| Gives detail of appropriation revenue by agency. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 899 82B:A-830S Internal Accounts Receivable Balances by Provider-Special Funds | | | | | | |
| Gives accounts receivable balances by provider/debtor by agency - detail listing for special funds. 3 months in agency. | Computer Output Microfilm | 2/8/1993 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 899 83#:B-912 Balance Sheet - Account Within Fund/Agency | | | | | | |
| Gives balance sheet of all accounts within each fund by agency. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 899 84#:B-901 Lapsed Allotment Report | | | | | | |
| Gives detail of lapsed allotment by agency. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 899 85#:B-913 Summary Balance Sheet Account Trial Balance within Fund/Agency | | | | | | |

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| Gives balances of accounts by summary within fund and agency. This is a summary of trial balance. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 Destroy | Current |
| Schedule #: 899 86#:B-915 Balance Sheet Account Trial Balance within Fund/Agency | | | | | | |
| Gives balance sheet of trial balance within fund/agency. Agencies require detailed information for reconciliation purposes. | Microfiche | 6/14/2012 | Years | 60 | No Retention 0 Destroy | Current |
| Schedule #: 899 87#:B-919 Cash Report | | | | | | |
| Gives the cash report by agencies for the State. Agencies require detailed information for reconciliation purposes. | Microfiche | 6/14/2012 | Years | 60 | No Retention 0 Destroy | Current |
| Schedule #: 899 88#:B-920 Balance Sheet Account - Trial Balance | | | | | | |
| Gives detail of trial balance by fund and agency. 3 months in agency. | Computer Output Microfilm | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 Destroy | Current |
| Schedule #: 899 89#:F-100 Balance Sheet - as of Month | | | | | | |
| Gives balance sheet monthly for all state agencies. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 Destroy | Current |
| Schedule #: 901 90#:F-120 Statement of Revenue - Budget and Actual | | | | | | |
| Gives detail of state revenues both budgeted and actual. Retain 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 Destroy | Current |
| Schedule #: 901 91#:F-900 Grant Budget Insufficiency | | | | | | |

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| Gives departmental listing of use of grants. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 901 92#:F-901 Grant Availability Report | | | | | | |
| Gives departmental listing of use of grants. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 901 93#:G-100 Federal Aid Obligations Summary Report | | | | | | |
| Gives a detail summary for all obligations from federal aid. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 901 94#:G-110 Federal Aid Transaction Detail Report | | | | | | |
| Gives a detail for federal aid transactions. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 901 95#:P-100 Project Obligations Summary Report | | | | | | |
| Gives summary of all department use of projects. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 901 96#:Voucher Payment Check | | | | | | |

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|---|---------------------------|--------------|---|----------------------|-------------|-------------------------|
| Gives details for all checks written - document ID's - by agency for any given month. 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 902 100#:A-810 Balance by Day & Average Daily Cash | | | | | | |
| Gives the State figures of balances by day and average daily cash. This also includes MFA 480 which was the name of A-810 when EMFASIS started. Retain 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 902 101#:A-657 - Voucher Payment Check Register | | | | | | |
| | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| | Computer Output Microfilm | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 902 102#:G-901 - Appropriation Account Transaction Listing | | | | | | |
| Gives listing of all transactions in each approp. and account. Replaces former Schedule 7, series #6. Retain 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 902 98#:A-611 Trial Balance by Accounting Distribution | | | | | | |
| Gives the trial balance of state by accounting distribution. This will replace series #7 Summary of Appropriation. June and December reports go to Archives; all others have disposition - D. In agency retention period is 3 months. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | See Description Current |
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| Gives the trial balance of state by accounting distribution. This will replace series #7 Summary of Appropriation. June and December reports go to Archives; all others have disposition - D. In agency retention period is 3 months. | Computer Output Microfilm | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | See Description Current |
| <hr/> | | | | | | |
| Schedule #: 902 99#:A-907 - P.O. Activity List | | | | | | |
| A-641 listing of all aged purchase orders by vendor and P.O. and now has been replaced with A-907 P.O. Activity List. These are listings of all Purchase Orders by Agency. These replace former series #56 - Outstanding Purchase Orders. Retain 3 months in agency. | Microfiche | 12/12/1990 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 903 103#:P-900 Project Budget Insufficiency Report | | | | | | |
| This project report gives department use of project summary. Keep in agency 3 months. | Microfiche | 1/8/1991 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 903 104#:P-901 Project Availability Report | | | | | | |
| This project report gives department use of project availability. Keep in agency 3 months. | Microfiche | 1/8/1991 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 903 105#:P-901 Project Transactions Report | | | | | | |
| This project report gives department details of project transactions. Keep in agency 3 months. | Microfiche | 1/8/1991 | Retention of Less than 1 Year - See Description | 0 | Years 7 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 903 107#:Check Cancellation Form | | | | | | |
| Gives a listing of all check cancellations and reissuance of check due to cancellation. | Computer Output Microfilm | 1/8/1991 | Years | 2 | Years 7 | Destroy Current |

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| Schedule #: 903 108#:State of Maine Payroll | | | | | | |
| Gives all payroll and check detail for State of Maine Payroll, for active employees. Keep in agency 3 months. | Microfiche | 1/8/1991 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 903 109#:State of Maine Agency Payroll | | | | | | |
| Individual agency payrolls gives detail by agencies of all check detail and payroll information on agency payrolls. Keep in agency 3 months. | Microfiche | 1/8/1991 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 903 110#:New Vendor/Vendor Update/W-9 Forms | | | | | | |
| This paper copy give details of vendor information as updates are needed. Keep in agency 3 months. This is the data entry form for the computerized vendor list. | Record Copy | 1/8/1991 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 904 111A:B-906 Monthly Expenditure Analysis for Budget Fiscal Year | | | | | | |
| Gives detail listing of monthly expenditures by agency. This series replaces series #8 - Analysis of Income and Expenditure. Agencies require detailed information for reconciliation purposes. | Microfiche | 6/14/2012 | Years 60 | No Retention 0 | Destroy | Current |
| Schedule #: 904 111B:B-906S Monthly Expenditure Analysis for Fiscal Year - Special Funds | | | | | | |
| Gives detail listing of monthly expenditures by agency. This series replaces series #8 - Analysis of Income and Expenditure. Keep in agency 3 months. THE JUNE AND DECEMBER REPORTS TO BE TRANSFERRED TO ARCHIVES. | Microfiche | 12/17/1990 | Retention of Less than 1 Year - See Description | 0 Years 7 | See Description | Current |
| Schedule #: 904 111C:B-906F Monthly Expenditure Analysis for Fiscal Year - Federal Funds | | | | | | |
| Gives detail listing of monthly expenditures by agency. B-906F is detail listing for Federal funds; B-906 is for all funds; B-906S is for special funds. In agency for 3 months (quarter). June and December are to be transferred to Archives. | Microfiche | 2/8/1993 | Retention of Less than 1 Year - See Description | 0 Years 7 | See Description | Current |

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| Schedule #: 1024 112A:Payroll - Delta Dental Detail Report | | | | | | |
| Recap listing of employees having dental insurance. Keep in agency 3 months (one quarter). | Microfiche | 2/8/1993 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 1024 112B:Payroll - Record of Time Off Without Pay | | | | | | |
| Record of Time off without pay - shutdown, furlough and reduced work-week. Keep in agency 3 months (one quarter). | Microfiche | 2/8/1993 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 1024 112C:Payroll - Health Insurance Transfer Report | | | | | | |
| List of employees who transferred from one company to another company, who have health insurance. Keep in agency 3 months (one quarter). | Microfiche | 2/8/1993 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 1024 112D:Payroll - General Ledger Costing Reports | | | | | | |
| This gives a total cost of each employee by company. Gives the cost of MSRS, Dental, BCBS, gross pay, basic insurance, medicare and totals. Keep in agency 3 months (one quarter). | Microfiche | 2/8/1993 | Retention of Less than 1 Year - See Description | 0 Years 60 | Destroy | Current |
| Schedule #: 1624 115#:AR30 Revenue Source Summary Report (Accounts Receivable) | | | | | | |
| Monthly Accounts Receivable (RE) Summary by agency and revenue source. This report provides agency detail on monthly RE's by revenue source. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 Years 7 | Destroy | Current |
| Schedule #: 1624 116#:AR92 Detail Aged Receivables Report (Accounts Receivable) | | | | | | |

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| Monthly detail of outstanding/past due vendor accounts receivable by agency, fund and customer. This report is generated in order of aged debt, one to ninety+ days past due. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1624 117#:AR92S Summarized Aged Receivables Report (Accounts Receivable) | | | | | | |
| Monthly Summary of Receivables (RE's) by agency, fund, and customer totals only. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Send to records center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1624 118#:AR91 Receivables by Account (Accounts Receivable) | | | | | | |
| Monthly Accounts Receivable (RE's) by agency, fund, appropriation, and reporting org. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1624 119#:AR34 Customer Credit Balance Report (Accounts Receivable) | | | | | | |
| Monthly Accounts Receivable (RE) credit balances by agency and customer. Provides date, RE#, and current credit balance. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1625 113#:X-003 Fixed Assets Depreciation Report | | | | | | |
| Monthly Fixed Assets Depreciation report by agency, fund, org, appropriation unit, and fixed asset type. Provides current depreciation, cumulative depreciation and net value. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 | Variable - See Description 7 | Destroy Current |
| Schedule #: 1625 114#:X-006 Fixed Asset Report by Location | | | | | | |

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| Monthly fixed asset listing by agency, fund, org, location, and fixed asset type. These are MFASIS (state 's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/17/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1626 120#:B-943 OPRQ Table Listing (Open Purchase Requisitions) | | | | | | |
| Monthly listing of open requisitions by agency and fund. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1627 121#:B-103 Current Expense Budget Detail List | | | | | | |
| Monthly Current Expense Budget by Agency, Fund, Org, Appropriation Unit, and Object. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 7 | Destroy Current |
| Schedule #: 1628 122#:Health Insurance Recap Report | | | | | | |
| Monthly payroll report which provides payment detail for state employee and state paid health insurance, for each employee by agency. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 60 | Destroy Current |
| Schedule #: 1628 123#:P/R Delta Dental Exceptions (Payroll) | | | | | | |
| Monthly payroll report which provides statewide list by agency/company number. These are manual adjustments to the Delta Dental Account. These are MFASIS (State's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 60 | Destroy Current |
| Schedule #: 1628 124#:PWHE-180 Payroll History | | | | | | |
| Quarterly payroll detail by employee social security number. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 60 | Destroy Current |
| Schedule #: 1628 125#:Dental Insurance Transfer Report | | | | | | |

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| Payroll: Dental Insurance transfer and duplicate billing report. Transfers between agencies/ companies by social security number. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 60 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1628 126#:W2 1099R Posting Audit | | | | | | |
| Yearly W2 and 1099R: payroll detail. Tax reporting data as sent to Internal Revenue Service, Maine Revenue Services, and each employee. These are MFASIS (state's accounting system) reports that are microfiched for all agencies to access when necessary. Transfer to Records Center on a quarterly basis. | Microfiche | 3/16/2005 | Variable - See Description | 0 | Years 60 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1765 130#:1099 Tax Information | | | | | | |
| 1099s are tax documents. They are wage statements for vendors of the State of Maine which are verification of monies issued to vendors through the course of a given calendar year. Per IRS guidelines, tax documents should be held for 7 years. Typical files would include any returned undeliverable envelopes including 1099, any corrections collection forms, email, letter and telephone correspondence as well as spreadsheets and database queries. These documents are used for the purpose of tracking any changes or corrections via vendor contact. In the event that a vendor or auditor (including IRS) comes forth requesting information regarding the tax documentation, our office can verify if or when a change was made. In some cases, we may be required to recreate older 1099 information based on our data. | Record Copy | 4/15/2010 | Years 7 | 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1766 131#:Financial Reconciliations | | | | | | |
| Reports and work papers relating to the reconciliation of financial accounts. Examples include payroll, cash and budget vs. accounting reconciliations. These are used for the purpose of verifying information and balancing accounts. Reviewed by OSC staff as well as auditors. Reconciliations are compiled from financial information acquired through various sources and systems which may not be easily accessible if recreating. Reconciliations are done weekly, monthly, quarterly and yearly. Typical files would include reports from other computer systems, database queries, computations by staff, spreadsheets, financial documents (i.e. department/agency journal and payment vouchers and cash receipts) and email correspondence. | Record Copy | 4/15/2010 | Years 7 | 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1767 132#:Financial Information - Supporting Documentation | | | | | | |

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| Correspondence and working papers related to the production of financial reports. Examples of reports created include Comprehensive Annual Financial Report (CAFR), Schedule of Expenditures of Federal Awards (SEFA) and Budgetary Financial Report. Supporting documentation is kept for state and auditing purposes as well as support for future reports created. Auditing departments frequently have questions regarding where the report information originated and how it was compiled. Questions regarding support can go back many years. A typical file includes correspondence and questionnaires between agencies and other entities, financial data received, as well as computations created by staff. (These computations are printed and added to file since information is not easily accessible on individual terminals at time of review.) | Record Copy | 4/15/2010 | Years 10 | 0 | Destroy | Current |
| 553#:Alcoholic Beverages & Lottery Operations | | | | | | |
| Schedule #: 47 5#:Form 106 - Customer's Credit Adjustments, Refunds, Claims, Etc. | | | | | | |
| This form is filled out by the customer when returning unsatisfactory merchandise, when he has been overcharged when making a purchase, or when he has paid for items not received. | Paper | 12/6/1974 | Years | 1 | No Retention | 0 Destroy Current |
| Schedule #: 53 25#:Workmen's Compensation | | | | | | |
| Copies of injury reports, hospital bills, correspondence, etc. Permanent in office. | Paper | 12/6/1974 | Permanent or Indefinite | 0 | No Retention | 0 See Description Current |
| Schedule #: 53 31#:General File Drawer | | | | | | |
| General information on a variety of subjects. | Paper | 12/6/1974 | Years | 2 | No Retention | 0 Destroy Current |
| Schedule #: 66 36#:Licenses and Related Data | | | | | | |

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| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status |
|---|-------|--------------|---------------------|----------------------|----------------|-----------------|
| Application for Retail Store Malt Liquor and/or Table Wine License; Application for On Premise License or renewal (Clubs, Hotels, Restaurants, Golf Courses, etc.); Application for Special Amusement Permit for Dancing and Entertainment; Corporate Questionnaire; Renewal Cards; Application for Certificate of Approval for Malt Liquor and/or Wine; Wholesaler's Application renewal incorporated in form--Malt Liquor and/or Wine; Application for Liquor Salesman License; copies of all licenses attached to applications; Application for Manufacturer's License; correspondence and miscellaneous data pertaining to above items. | Paper | 1/14/1975 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 66 37#:Denials & Withdrawals | | | | | | |
| A complete file relating to an individual premise, which for statutory reasons has either failed to meet requirements for initial issuance of license or the renewal thereof, which resulted in a hearing before the Commission and whereas the final results ended either in a denial or a voluntary withdrawal of the application. In the event of a denial a formal decree of denial is issued setting forth the reasons for the denial and a letter advising the applicant of the provisions for appeal and that a refund of the license fee is being processed with the exception of the filing fee which is retained by the State. This file also contains correspondence relating to the premises or hearing. This file contains cases that may related to any of the types of licenses as referred to in Series 36. | Paper | 1/14/1975 | Years | 5 | No Retention 0 | Destroy Current |
| Schedule #: 68 38#:Licensee's Excise Tax Control Ledger | | | | | | |
| Used to record the amount of excise tax that is paid by each wholesaler on beer and table wines. | Paper | 2/27/1986 | Years | 7 | No Retention 0 | Destroy Current |
| Schedule #: 68 39#:Cash Book (Form 131) | | | | | | |
| Record the amount of monies that is deposited daily in their separate categories. | Paper | 2/27/1986 | Years | 7 | No Retention 0 | Destroy Current |
| Schedule #: 68 43#:Form 127 - Malt Beverage Purchase Order | | | | | | |
| Form sent to wholesalers to enter their orders on for beer and ale to be purchased from different brewers. Copies of invoices are attached to this form. | Paper | 1/15/1975 | Years | 5 | No Retention 0 | Destroy Current |
| Schedule #: 68 44#:Form 127S - Sparkling Wine Purchase Orders | | | | | | |

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|---|-------|-----------------|---------------------|----------------------|-------------|---------|
| Form sent to wholesalers to enter their orders on for table wine to be purchased from different wineries. Copies of invoices are attached to this form. | Paper | 1/15/1975 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 68 45#:Form 127W - Table Wine Purchase Orders | | | | | | |
| Form sent to wholesalers to enter their orders on for table wine to be purchased from different wineries. Copies of invoices are attached to this form. | Paper | 1/15/1975 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 68 46#:Form 128 - Wholesalers Malt Liquor Report | | | | | | |
| Form sent to wholesalers to enter their shipments of malt liquor sent to them by Certificate of Approval. | Paper | 1/15/1975 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 68 47#:Form 128W - Wholesalers Wine Report | | | | | | |
| Form sent to wholesalers to enter their shipments of malt liquor sent to them by Wine Certificate of Approval. | Paper | 1/15/1975 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 68 48#:Form 129 - Summary Report of Malt Liquor Shipments | | | | | | |
| Form sent to Certificate of Approval to enter their shipments of malt liquors that are sent to Maine Wholesalers. | Paper | 1/15/1975 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 68 49#:Form 129W and 129W-S - Reports of Table and Sparkling Wine Shipments | | | | | | |
| Form sent to Wine Certificate of Approval to enter their shipments of table and sparkling wine that are sent to Maine Wholesalers. | Paper | 1/15/1975 Years | 5 | No Retention | 0 Destroy | Current |
| Schedule #: 68 51#:Correspondence - Malt & Wine Division | | | | | | |
| General correspondence, deposit slips and wholesalers refund sheets. | Paper | 1/15/1975 Years | 2 | No Retention | 0 Destroy | Current |
| Schedule #: 68 52#:Advertising - Malt & Wine Division | | | | | | |

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|--|----|--|-------|--------------|----------------------|----------------------|--------------|-------------|---------|---------|
| Certificate of Approval advertising on malt liquor and table wine. | | | Paper | 1/15/1975 | Years | 1 | No Retention | 0 | Destroy | Current |
| Schedule #: | 68 | 53#:Labels - Malt & Wine Division | | | | | | | | |
| Registration of table wine labels by the Certificate of Approvals. Retain until updated. | | | Paper | 1/15/1975 | Destroy When Updated | 0 | No Retention | 0 | Destroy | Current |
| Schedule #: | 68 | 54#:Malt Liquor Prices | | | | | | | | |
| Wholesalers and Certificate of Approval malt liquor prices that are files with Bureau of Alcoholic Beverages. Retain until updated. | | | Paper | 1/15/1975 | Destroy When Updated | 0 | No Retention | 0 | Destroy | Current |
| Schedule #: | 68 | 55#:Wine Prices | | | | | | | | |
| Wholesalers and Certificate of Approval table and sparkling wine prices that are filed with Bureau of Alcoholic Beverages. Retain until updated. | | | Paper | 1/15/1975 | Destroy When Updated | 0 | No Retention | 0 | Destroy | Current |
| Schedule #: | 73 | 56#:Appeal Hearings | | | | | | | | |
| Held by the State Liquor Commission upon formal request of licensee whose application has been disapproved by a town/city. Each folder contains a copy of application for license plus documentation of appeal procedures followed as distated by Title 28, MRSA 252. Hearings are recorded and tapes are filed in each folder. If license is denied or further action anticipated, tapes are transcribed; otherwise, license is issued and no further action taken. According to law, a person may reapply for a license in six months. | | | Paper | 12/31/1974 | Years | 1 | No Retention | 0 | Destroy | Current |
| Schedule #: | 73 | 58#:General File - Alcoholic Beverages | | | | | | | | |
| Correspondence re annual hearings held by Liquor Commission for the listing and delisting of items. Correspondence of transitory nature such as requests for information. Press releases. Inter-departmental memoranda. | | | Paper | 12/31/1974 | Years | 1 | No Retention | 0 | Destroy | Current |
| Schedule #: | 73 | 59#:Reference File - Alcoholic Beverages | | | | | | | | |

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|--|------|---|-------|--------------|-------------------------|----------------------|--------------|--------|-----------------|---------|
| Rulings from Attorney General; rulings from Public Utilities Commission and Dept. of Transportation re negotiations for transportation of liquor; mailing lists of vendors and their sales representatives; revenue projections; directives from Commissioner of Finance & Administration. Information on Collective Bargaining, Affirmative Action, Fair Labor Standards, and Office of State Employee Relations. Retain until updated. | | | Paper | 12/31/1974 | Destroy When Updated | 0 | No Retention | 0 | Destroy | Current |
| Schedule #: | 73 | 61#:Annual Financial Statements - Alcoholic Beverages | | | | | | | | |
| Copies of "Financial Statements, Bureau of Accounts & Control, Alcoholic Beverages Accounting" 1935 to present. Retain permanently in agency. | | | Paper | 12/31/1974 | Permanent or Indefinite | 0 | No Retention | 0 | See Description | Current |
| Schedule #: | 74 | 19#:Correspondence and Memos | | | | | | | | |
| Correspondence to and from the Bureau regarding rulings and policies, instuctions, information pertaining to the price list, requests for recommendations for merit increase purposes, etc. | | | Paper | 12/6/1974 | Years | 1 | No Retention | 0 | Destroy | Current |
| Schedule #: | 89 | 71#:Correspondence re Protested Checks | | | | | | | | |
| Correspondence written to licensees acknowledging receipt of checks, money orders or cash to reimburse the State of Maine for checks which have been protested by the bank due to insufficient funds. | | | Paper | 3/20/1975 | Years | 1 | No Retention | 0 | Destroy | Current |
| Schedule #: | 89 | 72#:Statements of Income and Cash Book Register | | | | | | | | |
| Income Statements which are made up for returned State checks, protested checks and income received from sale of equipment and supplies, refunds received from personal phone calls, forwarded to State Treasurer with bank deposit slips and remittances; register in which all items described are entered separately. Retain State of Income 5 years in agency; retain Cash Book Register permanently. | | | Paper | 3/20/1975 | Years | 5 | No Retention | 0 | See Description | Current |
| Schedule #: | 1220 | 73#:System Reports Lottery Operations | | | | | | | | |
| These reports are generated by computer by the vendor of the Lottery Games in Maine. There are generated by outside vendors for internal controls at the Lottery office. Such reports as: inventory, agent accounting, audit, and prize payments. Keep in agency until scanned to CD. | | | CD | 3/11/1997 | Years | 3 | No Retention | 0 | Destroy | Current |

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|---|-----------|--------------|---|----------------------|--------------|--------|---------|---------|
| These reports are generated by computer by the vendor of the Lottery Games in Maine. There are generated by outside vendors for internal controls at the Lottery office. Such reports as: inventory, agent accounting, audit, and prize payments. Keep in agency until scanned to CD. | Paper | 3/11/1997 | Contingent Upon Event - See Description | 0 | No Retention | 0 | Destroy | Current |
| 117#:Budget | | | | | | | | |
| Schedule #: 131 3A:Budgets & Work Programs | | | | | | | | |
| Budgets and Work Programs | Paper | 8/4/1997 | Years | 4 | Years | 0 | Destroy | Current |
| Budgets and Work Programs | Hard Disk | 8/4/1997 | Years | 10 | Years | 0 | Destroy | Current |
| Budgets and Work Programs | CD | 8/4/1997 | Years | 10 | Years | 0 | Destroy | Current |
| Schedule #: 131 3B:Budget Requests & Work Papers | | | | | | | | |
| Working papers related to biennial budget. | Paper | 10/22/1998 | Years | 4 | Years | 0 | Destroy | Current |
| Schedule #: 131 4#:Request for Adjustment of Allotment | | | | | | | | |
| Original request by agency to restore lapsed balance. | Paper | 8/4/1997 | Years | 1 | No Retention | 0 | Destroy | Current |
| Schedule #: 131 5#:Council Orders | | | | | | | | |
| Copy of agencies Council Orders sent to Budget for posting on allotment card. | Paper | 8/8/1975 | Years | 3 | No Retention | 0 | Destroy | Current |
| Schedule #: 250 6#:Maine State Government Annual Report | | | | | | | | |

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|---|---------------|--------------|---|----------------------|--------------|--------|-----------------|---------|
| Original working papers of the Department's submission for the Maine State Government Annual Report. Hold in office until information transferred to computer then destroy paper. Two copies of finished report are to be transferred to Archives. | Paper | 9/1/1995 | Retention of Less than 1 Year - See Description | 0 | No Retention | 0 | See Description | Current |
| Schedule #: 1194 7#:Reports and Studies of the Bureau of the Budget | | | | | | | | |
| Reports to the Legislature and/or Governor including Employee Housing Reports; Employee Vacancy Reports; Federal Fund Impact Reports; State Vehicle Use Reports; or any special requested report. Keep in Agency through Administration or Current Legislature (2 bienniums). | Paper | 2/13/1996 | Years | 4 | Years | 2 | Archives | Current |
| Schedule #: 1438 8:Financial Orders Approved by State Budget Officer (Sums under \$45,000) | | | | | | | | |
| Chapter 213, PL of 2001 provides that certain financial orders may be signed by the State Budget Officer. The orders include intradepartmental transfers of \$45,000 or less, requests for expenditures of \$45,000 or less, and authorizations to create government interim positions. | Paper | 8/30/2002 | Years | 4 | Years | 0 | Destroy | Current |
| 555#:Central Motor Pool | | | | | | | | |
| Schedule #: 1187 1#:Motor Vehicle History Files | | | | | | | | |
| Central Fleet leases or rents vehicles to all other agencies and must keep track of these vehicles. Files include: maintenance information, lease reports, window stickers, accident reports or anything that happens to the vehicle. Keep in agency until vehicle sold plus 1 year. | Paper | 1/30/1996 | Years | 1 | No Retention | 0 | Destroy | Current |
| 129#:Data Processing | | | | | | | | |
| Schedule #: 634 2#:Bureau of Data Processing Tape Library | | | | | | | | |
| Magnetic tape reels are used on the Honeywell and IBM systems. The tapes hold information from BDP's user community and are used to run jobs and do backups. The tapes would be requested by the user and they would know what information it held. | Magnetic Tape | 9/1/1987 | Destroy When Updated | 0 | No Retention | 0 | Destroy | Current |
| Schedule #: 1239 20#:Disaster Recovery Plan | | | | | | | | |

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| In case of fire, flood or famine this is the recovery plan for Production Services. Plan includes: IBM SOP, BULL SOP, AUXILARY SOP, TAPE MANAGEMENT SYSTEM CARTRIDGE LISTING, IBM CA-1 CARTRIDGE LISTING and other reports in case of disaster. | Paper | 10/9/1997 | Retain Until Inactive | 0 | Destroy When Updated | Current |
| Schedule #: 1239 21#:Disaster Recovery Plan(Backup Plan) | | | | | | |
| In case of fire, flood, or famine this is the recovery plan for Production Services. Plan includes: IBM SOP, BULL SOP, AUXILARY SOP, TAPE MANAGEMENT SYSTEM CARTRIDGE LISTING, IBM CA-1 CARTRIDGE LISTING, and other reports in case of disaster. | Paper | 10/19/1997 | Years | 0 | Destroy When Updated | Current |
| 355#:Employee Health and Benefits | | | | | | |
| Schedule #: 429 10#:Employee Assistance Program Case Records and Correspondence | | | | | | |
| Client are allowed one hour a week of counseling, with supervisor's knowledge, at no charge and without loss of vacation/sick leave credits. Long-term cases are referred to organizations such as Crisis & Counselling or New Directions. | Paper | 11/1/1988 | Years | 5 | No Retention | Current |
| Schedule #: 661 19#:State of Maine Employees Worker's Compensation Files | | | | | | |
| Employees First Report of Occupational Injury, Employees First Report of Injury,Supervisor's Report of Injury, Wage Statements, Medical Release Forms,Employer's Supplemental Report, Memorandum of Payment or Notice of Controversy Form, Medical Release Form, Informal Conference Report, Medical Reports and related correspondence. Transfer to Records Center one year after case is closed. | Paper | 1/23/1995 | Years | 1 | Years 20 | Destroy Current |
| Schedule #: 706 14#:Monthly Statistics - E.A.P. | | | | | | |
| Statistics on the number and kinds of problems and of State Employees seeking help from E.A.P. Handwritten notes destroy after computer entry and hard copy generated. | Paper | 11/8/1988 | Years | 2 | No Retention | 0 Destroy Current |
| Schedule #: 724 1#:First Aid and Medical Records | | | | | | |

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| Chart with blood pressure, nurse's notes, doctors reports. Folder may include lab test results and related correspondence. Keep in agency until employee termination. | Paper | 2/9/1989 | Contingent Upon Event - See Description | 0 | Years 30 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1106 15#:APPEALS - State Employee Health Commission | | | | | | |
| If a claim is not going to be paid by BC/BS for one reason or another the employee can appeal decision. Files include: correspondence, notifications, hearing statements, physicians statements, decisions pertaining to the employees appeal. | Paper | 6/17/1994 | Years | 2 | Years 3 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1106 16#:SECTION 125 Plan Forms (Pre-Tax Reimbursement) | | | | | | |
| Section 125 is a reimbursement account where money is automatically deducted from an employee's paycheck so medical bills may be paid with pre-tax dollars. Maine Choice is the administrator of the account. | Paper | 6/16/1994 | Years | 3 | Years 5 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1688 20#: Employee Benefit Applications | | | | | | |
| It is our agency's responsibility to maintain all documentation pertaining to employee benefits that are offered though our department. Employee Health & Benefits is required to keep the records for verification of enrollment and/or deletion from any of the benefits offered. | Digital File | 10/16/2014 | Years | 7 | No Retention 0 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1688 21#:Retiree Benefit Applications | | | | | | |
| It is our agency's responsibility is to maintain all documentation of benefits offered through our department pertaining to each retiree of the State of Maine and it's ancillaries groups. Employee Health & Benefits is required to keep the records for verification of enrollment and/or deletion from any of the benefits offered. | Digital File | 10/16/2014 | Years | 21 | No Retention 0 | Destroy Current |
| <hr/> | | | | | | |
| These records support Health Benefits, Vision Benefits and Medicare enrollment. | | | | | | |
| The Bureau of Employee Health & Benefits uses these records to verify enrollment or deletion of retiree and their dependents within each benefit offered. | | | | | | |
| Each file could contain health applications, letters and memorandums to retiree, and applications into all voluntary benefits offered by our office for retirees. Also any correspondence pertaining to the retirees benefits. | | | | | | |
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|---|-------|-----------------|---------------------|----------------------|-------------|---------|
| 446#:Employee Relations | | | | | | |
| Schedule #: 680 10#:State/Union Negotiations Files (MSEA, AFSCME, MSTa) | | | | | | |
| State and Union contract proposals; ground rules for negotiations; issue costs; charts; sign-in sheets; tentative agreements; final contracts; related correspondence; briefs; request for mediation; request for fact-finding: fact-finding report; mediators recommendations; exhibits. Retention period starts at completion. | Paper | 3/28/1988 Years | 6 | Years | 44 Destroy | Current |
| Schedule #: 680 11#:Union Unit Determination Petitions | | | | | | |
| Proof of service form; Petition for Appropriate Determination; Voluntary Recognition Form; Agreement on Appropriate Bargaining Unit; related correspondence. Transfer immediately upon completion. | Paper | 3/28/1988 Years | 0 | Years | 50 Destroy | Current |
| Schedule #: 680 12#:Employee Relations Correspondence Files | | | | | | |
| Files contain memo's from and to the Bureau of Employee Relations; directives on such topics as emergency preparedness, resource materials and related correspondence. | Paper | 5/16/1988 Years | 2 | No Retention | 0 Destroy | Current |
| Schedule #: 680 13#:Union Stewards Files | | | | | | |
| Includes a list of Union Stewards by Department. Retention counted from date employee is no longer a steward. | Paper | 5/16/1988 Years | 1 | No Retention | 0 Destroy | Current |
| Schedule #: 680 14#:Superior Court Cases | | | | | | |
| Related correspondence; signature page of people attending Step 3 meeting; notes on step 3 meeting; step 3 written decision; demand for arbitration; arbitration award; exhibits; Superior Court appeal; Briefs; Superior Court Decision & Order; Subpoenas; Notice of Hearing; Settlement Agreement. Retention counted from close of case. | Paper | 5/16/1988 Years | 2 | Years | 48 Destroy | Current |
| Schedule #: 680 2#:Law Court Cases | | | | | | |

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| May include: Related correspondence; signature page of people attending step 3 meeting; notes on step 3 meeting; step 3 written decision; demand for arbitration; arbitration award; exhibits; Superior Court appeal; Briefs; Superior Court Decision & Order; Subpoenas; Law Court Appeal; Law Court Decision & Order; Notice of Hearing; Settlement Agreement. Note:Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |
| Schedule #: 680 3#:10-Day Demands | | | | | | |
| A Union demand to negotiate the impact of an issue. May include: Related correspondence; signature page of people attending the negotiations sessions; notes on meetings; signed agreement; demand for arbitration; arbitration award; exhibits. Note:Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |
| Schedule #: 680 4#:Contract Administration Cases | | | | | | |
| Related correspondences; signature page of people attending meetings; notes on meetings; signed agreement; demand for arbitration; arbitration award; exhibits. Note:Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |
| Schedule #: 680 5#:Prohibited Practice Complaint (MLRB Cases) | | | | | | |
| Prohibited Practice Complaint; law briefs; exhibits; related correspondence. Note:Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |
| Schedule #: 680 6#:Maine State Employees Association Grievance Files | | | | | | |
| Related correspondence; signature page of people attending Step 3 meeting; notes on meeting; Step 3 written decision; demand for arbitration; arbitration award; exhibits; briefs; Notice of Hearing; Settlement Agreement. Retention counted from close of case. Keep in Agency until closed. | Paper | 4/6/1999 | Variable - See Description | 0 Years 5 | Destroy | Current |
| Schedule #: 680 7#:AFSCME Grievance Files | | | | | | |
| Related correspondence; signature page of people attending Step 3 meeting; notes on meeting; Step 3 written decision; demand for arbitration; arbitration award; exhibits; briefs; notice of hearing; settlement agreement. Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |

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| Schedule #: 680 8#:MSTA Grievance Files (Troopers) | | | | | | |
| Related correspondence; signature page of people attending Step 3 meeting; notes on meeting; Step 3 written decision; demand for arbitration; arbitration award; exhibits; briefs; Notice of Hearing; Settlement Agreement. Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |
| Schedule #: 680 9#:Maine State Confidential Positions (Unit Clarification) | | | | | | |
| Organizational charts; position file listing; petition for unit clarification; and related correspondence; briefs; notice of hearing; exhibits; MLRB decision; certificate of posting; motions. Retention counted from close of case. | Paper | 5/16/1988 | Years 2 | Years 48 | Destroy | Current |
| Schedule #: 681 19#:Director's Correspondence | | | | | | |
| Correspondence on natural disasters; sick leave; layoff requests; legal ruling correspondence; MSEA negotiation correspondence; and other related correspondence. | Paper | 6/3/1988 | Years 2 | No Retention 0 | Destroy | Current |
| 551#:Financial & Personnel Services | | | | | | |
| Schedule #: 92 1#:Correspondence, Commissioner of Finance | | | | | | |
| Correspondence concerning day-to-day activities--requests, acknowledgments, carbons of Bureau activities, interdepartmental memos, and executive orders for the year. | Paper | 10/20/1988 | Years 4 | Years 2 | Archives | Current |
| Schedule #: 92 4#:Permanent File - Finance | | | | | | |
| Papers needed on file for referral - quadrennial audit records, continuing property records, uncollectible accounts; Deferred compensation contracts; MSECCA Agreement. | Paper | 10/20/1988 | Years 8 | Years 2 | Archives | Current |
| Schedule #: 117 43#:Shipping Authorizations | | | | | | |
| Authorization to ship liquor from warehouse to stores. | Paper | 6/3/1975 | Years 2 | No Retention 0 | Destroy | Current |

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| Schedule #: 117 44#:Receiving Report Report of amount of liquor received by warehouse from distiller. | Paper | 6/3/1975 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 117 45#:Claims Breakage claims against vendor or transportation company. | Paper | 6/3/1975 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 117 46#:Licensees Orders Wholesale liquor purchases by licensed organizations. in agency 6 months then transferred to Record Center. | Paper is kept Paper | 2/9/1989 | Retention of Less than 1 Year - See Description | 0 Years 3 | Destroy | Current |
| Schedule #: 117 48#:Store Transfer Requisition Merchandise transfer between stores or from store to warehouse. | Paper | 6/3/1975 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 117 49#:Daily Computer Run from Register Tape Cash register tape, conversion tape and run showing daily amount sold by stores. Retain 2 weeks. | Computer Printout | 6/3/1975 | Retention of Less than 1 Year - See Description | 0 No Retention 0 | Destroy | Current |
| Schedule #: 117 50#:Monthly Work Sheets Working papers that make up monthly statements, viz. trial balance. | Paper | 6/3/1975 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 117 51#:Financial Statements | | | | | | |

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| Balance sheet, costs of goods sold, profit and loss monthly, profit and loss year to date and gallonage report. | Paper | 6/3/1975 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 117 52#:Monthly Run | | | | | | |
| Monthly summary of weekly run showing receipts, sales and inventory.and loss year to date and gallonage report. | Computer Printout | 6/3/1975 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 117 53#:Debit and Credit Adjustment Voucher | | | | | | |
| Stock adjustment of periodic inventory in stores, warehouse and store 58. Summarized monthly. | Paper | 6/3/1975 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 117 54#:Liquor Store Audit Reports | | | | | | |
| Formal report and work papers concerning internal liquor audit. | Paper | 6/3/1975 | Years 1 | Years 5 | Destroy | Current |
| Schedule #: 410 14#:Long Distance Telecommunication Records | | | | | | |
| Long Distance Telecommunication Records for members of the House of Representatives and Senate segments, all other State agencies segments. | 14CD | 12/23/1997 | Years 7 | Years 0 | Destroy | Current |
| Long Distance Telecommunication Records for members of the House of Representatives and Senate segments, all other State agencies segments. Update every 30 days. | Digital File | 12/13/1985 | Destroy When Updated | No Retention 0 | Destroy | Current |
| Schedule #: 440 15#:Internal Billings | | | | | | |
| Monthly billings for State agencies and institutions, and payment folders returned from Accounts & Control. Includes all Internal Services bills. | Microfiche | 6/2/1989 | Years 2 | Years 5 | Destroy | Current |
| Monthly billings for State agencies and institutions, and payment folders returned from Accounts & Control. Includes all Internal Services bills. | Paper | 2/19/1986 | Years 2 | Years 5 | Destroy | Current |

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| Schedule #: 626 18#:Project File- Telecommunications | | | | | | |
| Memos from agencies to the Telco division requesting new phone systems; Requests for proposals; copies of advertising; bid responses; any reviews of the bid responses; misc. correspondence to and from the telco division regarding the project; a copy of the completed contract; any correspondence dealing with bank financing if the project requires it; Lease Purchase Agreement (if needed for financing); responses to request for bank financing. Transfer to Financial and Personnel Services per Elaine Ferguson 11/5/98. | Paper | 7/1/1987 | Years 5 | Years 3 | Destroy | Current |
| Schedule #: 708 5#:Governor's Request Correspondence - Finance | | | | | | |
| Letters from citizens sent to Governor which pertains to the Department of Finance sent to us for draft reply for the Governors's signature. | Paper | 11/21/1988 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 708 6#:Legislative Correspondence to and from Finance | | | | | | |
| Fiscal impact forms on Legislative Documents. Draft legislation and related correspondence. | Paper | 11/21/1988 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 708 7#:Special Projects | | | | | | |
| Compilation of materials to resolve a specific problem. Gathering of information to make recommendation to governor or legislature such as: BIW Drydock in Portland; income tax uniform increment; retirement study; bond issues; Attorney General's opinions, rulings etc. Retention starts at completion. | Paper | 11/21/1988 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 1270 55#:Exception Payroll Registry "Regularly Scheduled Payments as of" Report #198 and Detail Backup | | | | | | |
| All detailed information on employee overtime or any payroll status change. A typical file contains, 198 Form and supporting detail. | Paper | 5/5/1998 | Years 1 | Years 2 | Destroy | Current |
| Schedule #: 1273 30#:Detail Vendor/Telecommunications Billing | | | | | | |

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| Vendor billing to the State of Maine for use in BIS billing to Agencies. BIS uses the Telecommunications billing records to bill various agencies for their telephone usage. These records are only on magnetic tape sent by AT&T and other companies. This is the only format which AT&T records come. Transfer to financial and Personnel services per Elaine Ferguson 11/5/98. | DC | 5/29/1998 | Years 0 | Years 1 | Destroy | Current |
| 554#:General Services | | | | | | |
| Schedule #: 45 1#:State Construction | | | | | | |
| Planning and construction files--contracts, specifications and change orders. Note: In Records Center for life of building. | Paper | 4/23/1985 | Years 2 | Contingent Upon Event - See Description | Archives | Current |
| Schedule #: 45 1A:State Construction | | | | | | |
| Planning and construction files--contracts, specifications and change orders. | Paper | 12/21/1998 | Years 0 | Years 18 | Archives | Current |
| Schedule #: 45 1B:State Construction | | | | | | |
| Temporary construction records and correspondence. | Paper | 12/21/1998 | Years 2 | Years 20 | Destroy | Current |
| Schedule #: 45 2#:Public School Construction | | | | | | |
| Planning and construction files--contracts, specifications and change orders. In agency for life of building. | Paper | 6/1/1987 | Years 2 | No Retention | Destroy | Current |
| Schedule #: 45 3A:Continuing Property Records | | | | | | |
| Continuing property records of plants and equipment. This series consists of a listing of all fixed assets and their historical cost including construction throughout the life of the building. Also includes deed to property. Keep in agency life of property plus 2 years. | Paper | 8/28/1991 | Years 2 | No Retention | Archives | Current |

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| Schedule #: 45 3B:Continuing Property Records (Original Deed) | | | | | | |
| Original deed for the Continuing Property Records series. | Paper | 8/28/1991 | Years | 0 | No Retention | 0 Archives Current |
| Schedule #: 55 9#:Post Office Receipts | | | | | | |
| Receipts for meter postage, cards and stamps, and postage due. | Paper | 12/11/1974 | Years | 2 | No Retention | 0 Destroy Current |
| Schedule #: 67 13#:Purchase Orders | | | | | | |
| Copy of Purchase Orders retained by Printing Division and related correspondence. | Paper | 1/2/1975 | Years | 3 | No Retention | 0 Destroy Current |
| Schedule #: 67 14#:Printing Requisitions | | | | | | |
| Printing requisitions concerning in-house and commercial printing and related correspondence. | Paper | 1/2/1975 | Years | 1 | No Retention | 0 Destroy Current |
| Schedule #: 112 19#:Department Meter Postage Card | | | | | | |
| Meter postage card accompanying mail sent to State House Post Office for billing purposes. Destroy after 30 days. | Paper | 5/27/1975 | Retention of Less than 1 Year - See Description | 0 | No Retention | 0 Destroy Current |
| Schedule #: 116 49#:Material Requisitions | | | | | | |
| Original requisitions of materials used for maintenance of state property to be charged to the various accounts. Used only for in-house control. Back-up for spread sheet,ledger covering all accounts. | Paper | 4/9/1975 | Years | 2 | No Retention | 0 Destroy Current |
| Schedule #: 192 21#:Redistribution record | | | | | | |

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| Surplus Property Committee form used to redistribute Federal surplus property to state agencies. | Paper | 7/20/1976 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 276 22#:State Purchasing Agents Files | | | | | | |
| Correspondence and miscellaneous memos. | Paper | 8/13/1979 | Years 2 | No Retention 0 | Archives | Current |
| Schedule #: 382 39#:Quote/Bid Log Book | | | | | | |
| Pertinent information in reference to quotes and bids. No longer being kept A. Davis 01/26/96. | Paper | 9/26/1985 | Years 3 | Years 4 | Destroy | Current |
| Schedule #: 387 24#:Compliance Form | | | | | | |
| Monitoring compliance with federal regulations on material acquired by Donees unless specified differently. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 25#:Inventory Cards | | | | | | |
| To record merchandise at SASP Federal Surplus and to show who was it distributed to. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 26#:Transfer Order Surplus Personal Property SF 123 | | | | | | |
| A form used for requesting Federal Surplus Property to be allocated to the State of Maine. General Services Administration retains a copy. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 27#:Over Shortage Report | | | | | | |
| This form reports overage or shortage of material received by Federal Surplus. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 28#:Sales Invoice | | | | | | |

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| A billing form for Donee, the Donee retains yellow and pink copy. The Agency retains white copy. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 29#:Application For Eligibility- S.A.S.P 02 | | | | | | |
| A application for admittance to S.A.S.P program. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 30#:State Agency Monthly Donations Report Of Surplus Property Form 3040 | | | | | | |
| Report of monthly donations and the report is sent to Federal Surplus General Services Administration quarterly. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 387 32#:Distribution Document | | | | | | |
| A sales receipt given to Donee's for material purchased from agency. Federal Surplus keeps white and yellow copy. Donee retains pink copy. | Paper | 10/10/1985 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 401 50#:MSEA Grievances and Related Correspondence | | | | | | |
| Grievances filed by MSEA against the Bureau of Public Improvements/ Property Management Division, anbd all related correspondence. | Paper | 12/10/1985 | Years 25 | Years 5 | Destroy | Current |
| Schedule #: 403 10#:Direct Hire Applications for Employment PER 3 - 8/82 | | | | | | |
| Applications filled out by non-State people for employment with the Bureau of General Services Property Management Division. | Paper | 12/10/1985 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 406 51#:Asbestos Related Information | | | | | | |
| Information regarding asbestos, grievances, correspondence, and medical data. | Paper | 12/10/1985 | Years 25 | Years 5 | Destroy | Current |
| Schedule #: 653 43#:Events in Maine | | | | | | |

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| Photographs of Broiler, Seafood and Egg Festivals; Eastern States Exhibition. | Still Photograph | 10/26/1987 | Years 0 | No Retention 0 | Archives | Current |
| Schedule #: 653 44#:Maine Scenic Photographs | | | | | | |
| Photographs of Maine; Seacoast,Inland,Cities,Towns and scenery. | Still Photograph | 10/26/1987 | Years 0 | No Retention 0 | Archives | Current |
| Schedule #: 653 45#:Hunting and Fishing Scenes | | | | | | |
| Professional Promotional Hunting & Fishing Photographs. | Roll Microfilm | 10/26/1987 | Years 0 | No Retention 0 | Archives | Current |
| Schedule #: 653 46#:Edmund Muskie Governmental Scenes | | | | | | |
| Governmental Bill Passing and Maine Promotional Photographs | Still Photograph | 10/26/1987 | Years 0 | No Retention 0 | Archives | Current |
| Schedule #: 674 53#:Space Management Data | | | | | | |
| Leases, maps, building floor plans and related correspondence and blueprints. | Paper | 10/7/1987 | Years 10 | No Retention 0 | Destroy | Current |
| Schedule #: 689 17#:Asbestos Response Team Reports | | | | | | |
| Job Orders; nSurvey Reports; School AHERA Project Reports (Asbestos Hazard Emergency Response Act). These documents (some or all, depending on findings) are generated as Asbestos Management evaluates the need for its services at each State department/school district, and as the Division carries out or oversees the necessary asbestos abatement projects there. Keep in Agency until scanned. | Paper | 3/12/1999 | Contingent Upon Event - See Description 0 | Years 10 | Destroy | Current |

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| Job Orders; nSurvey Reports; School AHERA Project Reports (Asbestos Hazard Emergency Response Act). These documents (some or all, depending on findings)are generated as Asbestos Management evaluates the need for its services at each State department/school district, and as the Division carries out or oversees the necessary asbestos abatement projects there. Keep in Agency until scanned until scanned. | CD | 3/12/1999 | Years 10 | Years 0 | Destroy | Current | |
| Back up CD. Job Orders; nSurvey Reports; School AHERA Project Reports (Asbestos Hazard Emergency Response Act). These documents (some or all, depending on findings) are generated as Asbestos Management evaluates the need for its services at each State department/school district, and as the Division carries out or oversees the necessary asbestos abatement projects there. Keep in Agency until scanned. | CD | 3/12/1999 | Years 0 | Years 10 | Destroy | Current | |
| Schedule #: 689 18#:Statewide Assessment Study | | | | | | | |
| Mylar prints (floor plans) and assessment studies; algorithms, spreadsheets, building reports, county summeries. | Paper | 7/8/1988 | Years 5 | Years 35 | Destroy | Current | |
| 64#:Geographic Information Systems | | | | | | | |
| Schedule #: 877 1#:GIS System and Data Back-up | | | | | | | |
| Back-up contains complete copies of all GIS data layers and associated attribute files contained in the Maine GIS database. GIS user production areas, the operating system, ARC/INFO software, and miscellaneous softwares are also on the back-up tape. Keep in agency until software upgraded. Keep in Records Center until updated. | Magnetic Tape | 10/22/1990 | Destroy When Updated | 0 | Destroy When Updated | Current | |
| Schedule #: 995 3#:GIS Maintenance Contracts | | | | | | | |
| Records of software and hardware contracts for the GIS. | Paper | 7/30/1990 | Years 2 | No Retention | 0 | Destroy | Current |
| Schedule #: 995 4#:GIS Correspondence | | | | | | | |
| File of all correspondence with GIS staff including public requests, inter-agency activities, vendors. | Paper | 7/30/1990 | Years 2 | No Retention | 0 | Destroy | Current |

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| Schedule #: 1632 5#:METWP24 | | | | | | |
| METWP24 is a geographic information system database (or layer) that depicts political boundaries, common town names, and geocodes for Maine at 1:24,000 scale. In other words, it displays a map of the boundaries of cities, towns, plantations and unorganized townships. The coverage was created from USGS, 7.5 minute map series, town boundaries. The Maine GIS base layer COAST, which contains Maine's coastal Mean High Water (MHW) mark and Maine islands, was used in the development of METWP24. To correct mapping errors and reflect recent changes to Minor Civil Division (MCD) boundaries, arcs and polygons have been added to or updated in METWP24 from: photorevised USGS data; Maine GIS base layer coincident features; legal descriptions; GPS data; and Maine Department of Transportation (MEDOT) engineering plans. METWP24 contains USGS 1:100,000 scale data and U.S. Department of Commerce, Bureau of Census, TIGER Line Files 1990 and 2000 where these provide a more correct or best available representation of a coverage feature. The retention/disposition (starting June 30, 2005) is 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | Hard Disk | 6/16/2005 Years | 1 | No Retention 0 | Archives | Current |
| Schedule #: 1700 50:National Wetlands Inventory Polygons (NWI) | | | | | | |
| Abstract: NWI contains USFW (U.S. Fish and Wildlife Service) National Wetland Inventory polygon data for Maine at 1:24,000 scale, classified using the Cowardin system. This dataset is one of a series available in 7.5 minute by 7.5 minute blocks containing ground planimetric coordinates of wetland polygon features in Maine classified using the Cowardin System. For more information on the Cowardin System see L.M.Cowardin, et al, 1979 "Classification of Wetland and Deepwater Habitats of the United States". U.S. Department of the Interior, Fish and Wildlife Service FWS/OBS-79/31. http://www.nwi.fws.gov/Pubs_Reports/Class_Manual/class_titlepg.htm . NWI data are compiled from color infrared aerial photography and are digitized onto 1:24000 scale base maps by the U.S. Fish and Wildlife Service in St. Petersburg, FL. Purpose: The data provide consultants, planners, and resource managers with information on wetland location and type. The data were collected to meet U.S. Fish & Wildlife Service's mandate to map the wetland and deepwater habitats of the United States. Users must assume responsibility in determining the useability of this data for their purpose. Data at this scale is suitable for detailed studies and local planning. Not for use in scales greater than 1:24000. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | Hard Disk | 3/7/2006 Years | 1 | No Retention 0 | Archives | Current |

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| Schedule #: 1700 51#:Contours | | | | | | |
| Abstract: CONTOURS contains contour lines for Maine from USGS (U.S. Geological Survey) 1:24,000 scale quadrangles; in accordance with the source, units may be in feet or meters and intervals may be at 10 to 20 feet, or 3 meters. Additional supplementary contours exist on some of the quads. Due to the large number of arcs, elevation codes are spot checked from a representative sample. The data retains the edgematching discrepancies existing in the source. | Hard Disk | 3/7/2006 Years | 1 | No Retention | 0 Archives | Current |
| Purpose: The contours are useful for determining drainage, using with Arc/Info Grid module for hydrology studies, determining slope and delineating watersheds. If used in hydrology, care should be given to cellsize for modeling. It is recommended that in coastal plain areas, a cellsize of no more than 22.5 meters be used. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | | | | | | |
| Schedule #: 1700 52#:Surficial Geology Polygons (SURF) | | | | | | |
| Abstract: SURF contains statewide surficial geology map units for Maine at 1:250,000 scale. The Maine Geological Survey (MGS) developed the dataset which maps surficial geology map units from their Regional Surficial Geology maps published in 1987. The data for this coverage were digitized and coded from 1:250,000 scale mylars by the J.W. Sewall Co., in 1990, for the Maine Low-Level Radioactive Waste Authority (LLRWA). Some coding and edgematching errors exist. For a detailed description of the surficial unit types see the hardcopy map source "Surficial Geologic Map of Maine, 1985" available at MGS. | Hard Disk | 3/7/2006 Years | 1 | No Retention | 0 Archives | Current |
| Purpose: This digital geospatial data was developed for use by MGS in cooperation with other entities. Its primary purpose is to provide a digital base map of surficial geologic units for Maine. Detailed design decisions and confirmation for the characterization of features will require additional field work. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | | | | | | |
| Schedule #: 1700 53#:Hydrography Polygons | | | | | | |

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| <p>Abstract:</p> <p>HYDRO maps Maine lakes, ponds, rivers, perennial and intermittent streams, and coastline at 1:100,000 scale. Data for this coverage were compiled from USGS 1:100,000 scale digital line graph (DLG) files by J.W.Sewall Co. for the Maine Low-Level Radioactive Waste Authority in 1989. The USGS major/minor coding scheme is used in the coverage. Maine's 3-mile marine jurisdiction limit was added by MEGIS staff in 1992 to close the coastal water polygon for shading purposes. Codes have also been added to identify tidal rivers in Maine and Maine Department of Environmental Protection Water Quality Classes. In addition, IF&W's MIDAS (Maine Information Display and Analysis System) lake codes have been added for lakes greater than 10 acres.</p> <p>Purpose:</p> <p>Data for HYDRO were compiled from USGS 1:100,000 scale DLG files by J.W.Sewall Co. for the Maine Low-Level Radioactive Waste Authority in 1989. Codes have been added to identify tidal rivers; water quality classification and related records by MIDAS number, a unique four digit identification code for lakes. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th.</p> | Hard Disk | 3/7/2006 | Years 1 | No Retention 0 | Archives | Current |

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|--------------------|------|--|
| Schedule #: | 1700 | 54#:Coast and Marine Island Polygons (Coast) |
|--------------------|------|--|

| | | | | | | |
|--|-----------|----------|----------------|----------------|----------|---------|
| <p>Abstract:</p> <p>COAST depicts Maine's coastline at mean high water, based on USGS 1:24,000 scale quadrangles. Some New Hampshire and New Brunswick coastlines are also included. Data for this coverage were digitized from the Mean High Water (MHW) line as shown on USGS 1:24,000 scale quadrangle maps. In addition, tidal rivers and ponds are also included in this coverage. The extent of tidal features was determined by a group of marine specialists familiar with Maine's coast. For rivers where the tidal extent was unclear the first contour or bridge crossing the river was used. Features which may be tidal but were connected to the coast by single line streams are not included in the coverage at this time. Codes for marine, tidal, and island polygons have been added, but may be incomplete at this time. In addition, students at the College of the Atlantic attached Maine State Planning Office, Coastal Island Registry Numbers (CIREG) to island polygons. Arcs contain codes describing coastline type, such as MHW, causeway, contour, or river mouth closure line. All 121 coastal quads are available at this time.</p> <p>Purpose:</p> <p>May be used as a basemap to show coastline, tidal rivers and ponds for mapping purposes. Data at this scale is suitable for use in local planning and detailed studies. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th.</p> | Hard Disk | 3/7/2006 | No Retention 0 | No Retention 0 | Archives | Current |
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| Schedule #: 1700 55#:Streams and Single Line Rivers (Streams) | | | | | | |
| Abstract: STREAMS depicts single line streams of Maine from USGS 1:24,000 scale quadrangles. Some New Hampshire and New Brunswick features are also included. Data for this coverage were digitized from USGS 1:24,000 scale quadrangle maps by various contractors. Arcs are coded for perennial and intermittent stream types. | Hard Disk | 3/7/2006 Years | 1 | No Retention | 0 Archives | Current |
| Purpose: STREAMS is a base map layer of single line streams at a 1:24,000 scale. Users must assume responsibility in determining the useability of this data for their purpose. Data at this scale is suitable for detailed studies and local planning. Not for use in scales greater than 1:24,000. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | | | | | | |
| Schedule #: 1700 56#:Pond and Lake Polygons (PONDS) | | | | | | |
| Abstract: PONDS contains pond and lake features in Maine from USGS 1:24,000 scale quadrangles. Data for this coverage were digitized from USGS 1:24,000 scale quadrangle maps by various contractors. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | Hard Disk | 3/7/2006 Years | 1 | No Retention | 0 Archives | Current |
| Purpose: Base map layer. To show pond and lake features at a 1:24,000 scale. | | | | | | |
| Schedule #: 1700 57#:River Polygons (RIVERS) | | | | | | |
| Abstract: RIVERS depicts double line river features in Maine from USGS 1:24,000 scale quadrangles. Some New Hampshire and New Brunswick features are also included. Codes are included to select river island polygons. Note that tidal portions of rivers are located in the COAST coverage. | Hard Disk | 3/7/2006 Years | 1 | No Retention | 0 Archives | Current |
| Purpose: RIVERS is a base map layer of double line river features at a 1:24,000 scale. Users must assume responsibility in determining the usability of this data for their purpose. Data at this scale is suitable for detailed studies and local planning. Not for use in scales greater than 1:24,000. Retain 1 year in agency, Archives on June 30th of each year unless not updated since previous June 30th. | | | | | | |

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| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status |
|---|-----------|--------------|---|----------------------|-------------|---------|
| Schedule #: 1711 100#:Maine GIS Digital Geospatial Data E911RDS E911RDS digital geospatial roads were developed, and are maintained, to serve the Enhanced 911 Project in Maine. In 1988, Maine voters approved the statewide deployment of Enhanced 911 service. Enhanced 911 has many public safety benefits. The two most important features are: the public's ability to dial 911 for all emergencies, and automatic caller location information critical to speeding up the dispatch of emergency services. Retain until updated or retired. The Maine Office of GIS (MEGIS) is working with the Public Utilities Commission (MEPUC) Emergency Services Communication Bureau (ESCB) to support a statewide implementation of Enhanced 911 service. MEGIS's role in this implementation is to provide technical assistance to towns that need to establish physical addresses. Physical addresses for participating towns are developed based on community-defined address intervals and road names applied to an updated set of digital roads. E911RDS data contains up-to-date road names and address ranges for participating Maine towns. In addition to its use in Enhanced 9-1-1 emergency services, this data is used for planning, utility, development and various other applications. Archives on January 1 and July 1 of each year unless not updated during interval. | Hard Disk | 3/7/2006 | Contingent Upon Event - See Description | No Retention 0 | Archives | Current |
| Schedule #: 1712 101#:WETMGS WETMGS maps major wetlands in organized towns in Maine at a 1:50,000 scale. Data for this coverage were digitized from MGS 1:50,000 scale Fresh Water Wetlands maps by J.W. Sewall Co. for the Maine Low Level Radioactive Waste Authority in 1989. Wetlands shown on these maps were compiled from Maine Department of Inland Fisheries and Wildlife, U.S. Fish and Wildlife Service and Soil Conservation Service data sources in 1980-81. This layer was produced from data collected during a statewide search for potential candidate sites for a low level radioactive waste facility. Source files included: maps, pre-characterization reports, engineered soil reports, slides and related correspondence. | Hard Disk | 7/31/2006 | Retain Until Inactive | 0 0 | Archives | Current |
| 389#:Human Resources | | | | | | |
| Schedule #: 259 7#:General Correspondence Updates, changes and general correspondence concerning applications | Paper | 3/20/2014 | Years 2 | No Retention 0 | Destroy | Current |

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|--|--------------|--------------|---------------------|----------------------|-------------|---------|
| Schedule #: 259 8A:Certification of Eligibles Roster - List of Applicants | | | | | | |
| List of applicants certified to an agency for interview. | Digital File | 4/24/2014 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 259 8B:Certification of Eligible Registers - Returned Certifications | | | | | | |
| Returned certifications with marked up copy from agency. | Paper | 4/24/2014 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 259 9#:Expired Applications | | | | | | |
| Open competitive employment applications received from applicants through the electronic application process that have expired | Digital File | 4/24/2014 | Years 3 | No Retention 0 | Destroy | Current |
| Open competitive paper employment applications that have expired | Paper | 4/24/2014 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 289 11#:State Employee/Civil Service Appeals Board | | | | | | |
| JEA supporting data | Paper | 3/20/2014 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 439 13#:Employee Personnel Records | | | | | | |
| 1)Active employee records as of 9/84; 2)Inactive employee records as of 7/85. Employee applications, salary history, job history, leave authorizations, termination documents. This file also includes Human Resource Profile,PER 60-7/85 (formerly Personnel Mgmt Data Form PER-2-4/77). 3) Daily work boxes - 1999 and forward | Paper | 4/24/2014 | No Retention 0 | Years 60 | Destroy | Current |
| Retention counted from date file becomes inactive. | | | | | | |
| Original microfiche records - June 1999 | Microfiche | 4/24/2014 | No Retention 0 | Years 60 | Destroy | Current |

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|---|--------------|--------------|---------------------|----------------------|--------------|--------------------|
| CD (Duplicate copy) June 1999 | CD | 4/24/2014 | No Retention | 0 | Years | 60 Destroy Current |
| Daily work boxes with paper - 1999 and forward | Digital File | 4/24/2014 | Years | 60 | No Retention | 0 Destroy Current |
| Schedule #: 476 15#:Records of State Employee/Civil Service Appeals Board | | | | | | |
| Records of the cases heard by the State Employees Appeals Board with written decisions. | Digital File | 5/8/2014 | Years | 45 | No Retention | 0 Destroy Current |
| Schedule #: 602 17A:Classification Files - Active Classification Files and Appeal Material | | | | | | |
| Records are set up for each class of position. Included in records are: Job Spec, Admin Report of Work Content (FJA-1), appeals and awards decisions, PER-50, and related documents and correspondence. Also JA-20 and dover form to FJA-1 materia. | Paper | 4/24/2014 | Years | 5 | Years | 35 Destroy Current |
| 2012 and forward | Digital File | 4/24/2014 | Years | 40 | No Retention | 0 Destroy Current |
| Schedule #: 602 17B:Classification Files - Job Classification Files and Non-Appeal Materials | | | | | | |
| Records are set up for each class or position. Included in the records are: Job Spec, Admin Report of Work content (FJA-1), appeals and awards decisions, Bulletin Announcement, PER-50, and related documents and correspondence. Also JA-20 and cover form to FJA-1 material. | Paper | 4/24/2014 | Years | 5 | Years | 25 Destroy Current |
| 2012 and forward | Digital File | 4/24/2014 | Years | 30 | No Retention | 0 Destroy Current |
| Schedule #: 602 17C:Classification Files - Abolished Classification File Folders | | | | | | |

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|--|--------------|--------------|---------------------|----------------------|-------------|---------|
| Records are set up for each class of position. Included in records are: job Spec, Admin Report of Work contetn (FJA-1), appeals and awards decisions, Bulletin Announcement, PER-50, and related documents and correspondence. Also JA-20 and cover form to FJA-1 material. | Paper | 4/24/2014 | Years 5 | Years 25 | Destroy | Current |
| 2012 and forward | Digital File | 4/24/2014 | Years 30 | No Retention 0 | Destroy | Current |
| Schedule #: 1210 21#:Hay Employee Classification Study | | | | | | |
| The Hay Classification Study was a benchmark study of all State of Maine employee classifications, done for assigning each classification to the appropriate pay range relative to nationally recognized standards for the qualifications required and tasks performed. This study still forms the basis for all State job classifications and their assignment to pay ranges; it will continue to do so until such time as another study of the same nature is done. Files include rating sheets for individual positions within classifications, appeals of pay grade assignments, task statements, and comparisons of similar positions in different departments and/or locations. Hold in Record Center until a new study is done plus 10 years. | Paper | 8/28/1996 | Years 0 | Years 10 | Destroy | Current |
| Schedule #: 1424 22:Active Job Class - Exam Plans & Master Keys (open competitive) | | | | | | |
| Documents supporting positions/applicant tracking system. The system tracks applications for classified positions including: testing, to produce a register for agencies in order to fill positions. | Paper | 4/24/2014 | Years 3 | No Retention 0 | Destroy | Current |
| Documents supporting positions/applicant tracking system. The system tracks applications for classified positions including: testing, to produce a register for agencies in order to fill positions. | Digital File | 4/24/2014 | Years 3 | No Retention 0 | Destroy | Current |
| 674#:Maine Board of Tax Appeals | | | | | | |
| Schedule #: 1887 1#:Visitor Log | | | | | | |

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|---|-------|--------------|-------------------------|----------------------|--------------|--------------------|
| The Visitor Log is maintained to chronicle access to the secure office area where files containing Federal Tax Information are kept. The log is maintained to meet IRS security safeguards requirements. It contains information identifying the names of persons who enter the secured office are, the date and time of entry and the date and time of departure as well as the reason for their entry. | Paper | 1/23/2013 | Permanent or Indefinite | 0 | No Retention | 0 Archives Current |
| <hr/> | | | | | | |
| Schedule #: 1887 2#:Federal Tax Information Log | | | | | | |
| The Federal Tax Information Log is maintained to chronicle the receipt by the Board of Tax Appeals of Federal Tax Information from Maine Revenue Services for use in the Board's duties in resolving tax disputes between taxpayers and Maine Revenue Services. The log will record the date of receipt of Federal Tax Information as well as what information was received and the date the information was either returned to Maine Revenue Services or destroyed by the Board. The Log is maintained to meet IRS information security safeguards requirements. | Paper | 1/23/2013 | Permanent or Indefinite | 0 | No Retention | 0 Archives Current |
| <hr/> | | | | | | |
| Schedule #: 1887 3#:Federal Tax Information Key Log | | | | | | |
| The Federal Tax Information Key Log is maintained to chronicle the receipt and return by employees of the Board of Tax Appeals of keys to double-locked Federal Tax Information filing cabinets to ensure the security of the Federal Tax Information and to control and document access to that information on a Need to Know basis only. The log will record the date of receipt of keys to federal tax information filing cabinets of each authorized Maine Board of Tax Appeals employee, as well as the date of return of those keys when that employee terminates employment with the Maine Board of Tax Appeals and is no longer authorized access to Federal Tax Information. The Log is maintained to meet IRS information security safeguards requirements. | Paper | 1/23/2013 | Permanent or Indefinite | 0 | No Retention | 0 Archives Current |
| <hr/> | | | | | | |
| Schedule #: 1887 4#:Annual Calendar | | | | | | |
| The Annual Calendar will be maintained by the Board's Administrative Assistant chronicling the scheduling of Board meetings, conferences relating to appeals, and other activities. | Paper | 1/23/2013 | Years | 3 | No Retention | 0 Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1888 5#:Appeal Case Files | | | | | | |

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|--|-------------|--------------|-------------------------|----------------------|--------------|---------|----------|---------|
| These records are generated to enable the Maine Board of Tax Appeals to resolve disputes between taxpayers and Main Revenue Services. The records are used to determine whether an assessed tax is owed or a denied refund is due. The typical file will contain the statement of appeal, the parties' submissions, Appeals Officer's Notes, correspondence, recommended decision, parties comments on the recommended decision, and the Board's final decision. (Keep in agency 6 months) | Paper | 1/23/2013 | Less Than One Year | No Retention | 0 | Destroy | Current | |
| <hr/> | | | | | | | | |
| Schedule #: 1888 6#:Final Board Appeal Decisions | | | | | | | | |
| The Board's final appeal decision resolves disputes between taxpayers and maine Revenue Services. The decisions will interpret Maine tax law and apply the law to specific factual situations. They provide persuasive precedent for the resolution of future disputes and will guide the Board in its future decisions on the same and similar issues. Keeping copies of these decisions helps to ensure fair and equal treatment of all taxpayers. (Kept in paper and digital formats) | Paper | 1/23/2013 | Permanent or Indefinite | 0 | No Retention | 0 | Archives | Current |
| <hr/> | | | | | | | | |
| 125#:Maine Revenue Services | | | | | | | | |
| Schedule #: 11 1#:1040 Estimated Individual Income Tax | | | | | | | | |
| Form 1040 ES-ME showing Declaration and Quarterly payments of Estimated Individual Income Tax. | Record Copy | 7/13/2015 | Years | 4 | No Retention | 0 | Destroy | Current |
| [Paper will be destroyed after electronic imaging. RC to include imaged document and database data.] | | | | | | | | |
| <hr/> | | | | | | | | |
| Schedule #: 12 2#:Individual Income Tax Return and W-2 Forms | | | | | | | | |
| Individual Income Tax returns, schedules and documentation. | Record Copy | 7/13/2015 | Years | 7 | No Retention | 0 | Destroy | Current |
| [Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database data.] | | | | | | | | |
| <hr/> | | | | | | | | |
| Schedule #: 19 3#:Employers Return of Income Taxes Withheld from Employees Forms 941/C1 | | | | | | | | |

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| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status |
|--|--------------|--------------|---------------------|----------------------|-------------|---------|
| Form 941/C1-quarterly Maine Employers Returns of Income taxes withheld from employees and unemployment compensation paid by employers except the wage detail on Schedule 2/C1 which will be stored on Fed/State server. Form was split apart 01/01/2015 so will not be filed after 2014. (Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data) | Record Copy | 7/6/2015 | Years 10 | No Retention 0 | Destroy | Current |
| Schedule #: 19 3A:Employers Return of Income Taxes Withheld from Employees Form 941&941A | | | | | | |
| Form 941 Maine Employers returns of income taxes withheld from employees. Form 941A-amended Maine Employers returns of income tax withheld from employees. Schedule 2 & 2A detail will be stored on Fed/State Server. (Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data). | Record Copy | 7/6/2015 | Years 10 | No Retention 0 | Destroy | Current |
| Schedule #: 19 3B:Payment Voucher for Income Taxes Withheld from Employees | | | | | | |
| Form 900ME- Payment Voucher for Maine Income Tax Withheld by Employer. (Paper will be destroyed after electronic imaging. RC to include imaged document and database data) | Record Copy | 7/6/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 19 3C:Pass Thru Entity Withholding and Exemption Forms | | | | | | |
| Form 941P- withholding for non resident members of a pass thru entity and form 941E-pass thru entity withholding exemption form.Paper will be destroyed after electronic imaging. RC to include imaged document and database data | Record Copy | 10/19/2010 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 19 3D:Forms 1099 and W-2 reporting withholding | | | | | | |
| Forms show taxpayer yearly income and amount withheld for federal and state tax. Forms are sent electronically to Maine Revenue service thru the MEETRS Bulk file upload system and stored on Fed/State server. [DF to include Database Data.] | Digital File | 7/6/2015 | Years 10 | No Retention 0 | Destroy | Current |
| Schedule #: 20 4#:Sales Tax Returns (Form ST-7) | | | | | | |
| Filed by taxpayers showing amount of sales/use tax liability and tax paid. [Paper will be destroyed after electronic imaging. RC to include Imaged Document and database data] | Record Copy | 9/21/2015 | Years 6 | No Retention 0 | Destroy | Current |

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| Schedule #: 29 10#:Potato Tax Returns | | | | | | |
| Monthly return from potato shippers showing quantity shipped, tax liability and amount paid.Paper will be destroyed after electronic imaging. RC to include imaged document and database data | Record Copy | 7/6/2010 Years | 6 | Years 0 | Destroy | Current |
| Schedule #: 29 11#:Franchise Estimate Form 1120B-ES-ME and Extension Form 1120B-EXT-ME | | | | | | |
| Form 1120B-S-ME shows quarterly estimated payments of Banks and Form 1120-EST-ME show payments made to cover any additional tax liability not covered by the estimated payments. [Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data] | Record Copy | 7/6/2015 Years | 6 | No Retention 0 | Destroy | Current |
| Schedule #: 29 13#:Gas Shrinkage | | | | | | |
| Gas shrinkage refund applications from retail gas dealers showing amount of refund paid.Paper will be destroyed after electronic imaging. RC to include imaged document and database data. | Record Copy | 7/6/2010 Years | 6 | Years 0 | Destroy | Current |
| Schedule #: 29 14#:Delinquent Letters | | | | | | |
| Diesel fuel used delinquent letters - notification of failure to report. | Record Copy | 7/6/2010 Years | 6 | Years 0 | Destroy | Current |
| Schedule #: 30 15#:Individual Income Tax Refund Runs | | | | | | |
| Computer printout showing amount of individual income tax refund due TP30; computer printout showing total amount of refunds due less any payment stopped, previously paid, etc.; Check Register - computer printout showing check number, social security number, and amount of tax refund actually paid. | Record Copy | 9/8/2015 Years | 1 | No Retention 0 | Destroy | Current |
| [This is produced and stored electronically. Any paper copies used during normal business will be destroyed.] | | | | | | |
| Schedule #: 82 17#:Maine Corporate& Maine Amended Corporate Income Tax Return Form 1120-ME& Form 1120X-ME | | | | | | |

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|---|----------------|--------------|---------------------|----------------------|-------------|---------|
| Form 1120-ME showing calculations of corporate income tax paid.Paper will be destroyed after electronic imaging. RC to include imaged document and database data. | Record Copy | 10/19/2010 | Years 20 | Years 0 | Destroy | Current |
| Schedule #: 146 22#:Fiduciary Return Form 1041 ME | | | | | | |
| Form 1041 ME showing calculations of Fiduciary Income Tax paid to the State of Maine. [Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database data.] | Record Copy | 7/13/2015 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 149 24#:Real Estate Transfer Tax | | | | | | |
| Declaration of Value (Form PTS-520) submitted by the Registers of Deeds indicating value of property on which transfer tax is based and parties to the transfer. | Roll Microfilm | 8/26/2015 | Years 100 | No Retention 0 | Destroy | Current |
| Declaration of Value (Form PTS-520) submitted by the Registers of Deeds indicating value of property on which transfer tax is based and parties to the transfer.(2005 Forward) Paperwill be destroyed after electronic imaging. RC to included imaged document and database data. | Record Copy | 12/2/1975 | Years 50 | No Retention 0 | Destroy | Current |
| Schedule #: 191 32#:Insurance Premium & Fire Tax Reports | | | | | | |
| Annual Reports (INS 4 & INS 5) Monthly & Quarterly Reports (INS 1 & INS 2) [Paper will be destroyed after electronic imaging. DF to include Imaged Document and Database Data.] | Record Copy | 11/7/2011 | Years 10 | 0 | Destroy | Current |
| Schedule #: 191 34#:Gas Tax Distributor Reports | | | | | | |
| Reports with appropriate schedules 2 through 16B attached.(Paper will be destroyed after electronic imaging. Rc to include Imaged Document and database data) | Record Copy | 9/13/2011 | Years 6 | Years 0 | Destroy | Current |

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| Schedule #: 191 35#:Distributor's Cigarette Stamp Order Blank and Tobacco Products Tax Return | | | | | | |
| Daily records of sales, refunds, and payments for cigarettes & monthly records of sales, refunds, and payments for tobacco distributors. [Paper will be destroyed after electronic imaging. RC to include imaged document and database data.] | Record Copy | 7/1/2016 Years | 6 | No Retention 0 | Destroy | Current |
| Schedule #: 191 40#:Blueberry Tax Returns & Certifications | | | | | | |
| Reports by shipper showing tax due, paid and deposited.Paper will be destroyed after electronic imaging. RC to include imaged docuemtn and database data. | Record Copy | 9/13/2011 Years | 6 | Years 0 | Destroy | Current |
| Schedule #: 191 44#:Quahog Tax Returns & Certifications | | | | | | |
| Report from dealer showing purchases, tax due and deposit.Paper will be destroyed after electronic imaging. RC to include imaged docuemtn and database data. | Record Copy | 9/13/2011 Years | 6 | Years 0 | Destroy | Current |
| Schedule #: 191 45#:Railroad Tax Forms | | | | | | |
| Reports by railroads of tax due. Paper will be destroyed after electronic imaging. RC to include imaged docuemtn and database data. | Record Copy | 9/13/2011 Years | 6 | Years 0 | Destroy | Current |
| Schedule #: 191 46#:Telecommunications Excise Tax Returns | | | | | | |
| Telecommunication excise tax returns and supporting documentation used by the agency to determine the amount of tax due from a telecommunications business. | Digital File | 8/26/2015 Years | 6 | No Retention 0 | Destroy | Current |
| Schedule #: 201 50#: All MRS Correspondence | | | | | | |
| Non-Transitory Paper Correspondence - Official paper correspondence signed by State Tax Assessor | Paper | 10/26/2015 Years | 6 | No Retention 0 | Destroy | Current |
| All other non-transitory paper corrspodence. Destroy paper after scanning. | Digital File | 10/26/2015 Years | 6 | No Retention 0 | Destroy | Current |

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| All other non-transitory paper correspondence not scanned to digital image. | Paper | 10/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Non-Transitory digital image correspondence. | Digital File | 10/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Transitory Correspondence Unsolicited/subscription commercial, professional association and listserv-type corresp. DF rec'd that was sent within MRS email system and not put in work files by receiver (MRS sender retains DF, see above). DF rec'd that was sent within State email system to multiple MRS staff with designated MRS lead on subject matter and not put in work files by receiver (MRS designated lead retains DF, see above). FYI paper copies (with any misc. notation) sent within MRS (MRS sender retains non-transitory original, see above). | Digital File | 1/17/1980 | Years 0 | No Retention 0 | Destroy | Current |
| Transitory Correspondence Unsolicited/subscription commercial, professional association and listserv-type corresp. DF rec'd that was sent within MRS email system and not put in work files by receiver (MRS sender retains DF, see above). DF rec'd that was sent within State email system to multiple MRS staff with designated MRS lead on subject matter and not put in work files by receiver (MRS designated lead retains DF, see above). FYI paper copies (with any misc. notation) sent within MRS (MRS sender retains non-transitory original, see above). | Paper | 1/17/1980 | Years 0 | No Retention 0 | Destroy | Current |

Schedule #: 201 51B:Vehicle Dealers/Lessors and Use Tax Certificates (STMV-6U) - Use Tax Certificates

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| The Agency keeps these records to support the sales and use tax program. The records are used by various Maine Revenue Service employees and agents to determine the amount of use tax due at the time a motor vehicle, snowmobile, all-terrain vehicle, watercraft, aircraft, trailer, truck camper, or other property is registered. Use tax is imposed on the storage or use of tangible personal property in Maine, the sale of which would be subject to sales tax. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a use tax certificate filed by an individual person. Paper will be destroyed after electronic imaging. RC to include imaged documents and database data. | Record Copy | 11/25/2015 Years | 6 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 201 52#:Interstate Commerce Affidavits - Exempt Motor Vehicle Purchases | | | | | | |
| Completed rolling stock affidavits pertaining to tax exemptions on vehicles involved in interstate commerce. | Paper | 7/6/2010 Years | 2 | Years 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 222 53#:Property Record Cards | | | | | | |
| Each card includes name, acreage and valuation of each parcel in unorganized territory. Computation of each year's tax made on this card.Property Records Cards- changers are recorded on new card-old cards destroyed after 3 years. | Record Copy | 9/13/2011 Years | 50 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Each card includes name, acreage and valuation of each parcel in unorganized territory. Computation of each year's tax made on this card.Property Records Cards- changers are recorded on new card-old cards destroyed after 3 years | Record Copy | 9/13/2011 Years | 3 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 222 54#:Valuation Books | | | | | | |
| Contain information regarding ownership, acreage and valuation of each parcel in unorganized territory. These books combine the individual valuations on each card into a total amount for each township. | Paper | 9/26/2015 Years | 100 | No Retention 0 | Archives | Current |
| <hr/> | | | | | | |
| Schedule #: 222 55#:Property Owner Correspondence | | | | | | |

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|---|-------------|--------------|---------------------|----------------------|-------------|---------|
| Correspondence between property owners and Maine Revenue Service concerning valuation in the form of complaints and inquiries. | Paper | 9/26/2015 | Years 4 | No Retention 0 | Destroy | Current |
| Schedule #: 243 59#:Assessments & Abatements | | | | | | |
| Records of Assessments and Abatements issued by the agency for Unorganized Territory Real Estate and Personal Property Taxes, Commercial Forestry Excise Tax and Telecommunications Excise Tax. | Record Copy | 9/26/2015 | Years 4 | No Retention 0 | Destroy | Current |
| [Paper to be destroyed after imaging, RC to include imaged documents and database data.] | | | | | | |
| Schedule #: 243 60#:Real & Personal Property Inventories | | | | | | |
| Forms returned from individuals listing real and personal property. | Record Copy | 6/23/2010 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 243 61#:Land Sales for Non-Payment of Taxes & Correspondence | | | | | | |
| Listing of land sales of property by the state. | Record Copy | 6/23/2010 | Years 50 | No Retention 0 | Archives | Current |
| Schedule #: 243 63#:Municipal & Deorganized Town Valuation Returns | | | | | | |
| Returns from cities and towns of Maine listing value of land, buildings, personal property and industrial properties. | Paper | 8/19/2010 | Years 50 | Years 6 | Archives | Current |
| Schedule #: 243 65#:Sales Ratio Studies, Municipalities | | | | | | |
| Reports made by our field men once every two years for each municipality as to value of property in the state. | Record Copy | 8/19/2010 | Years 4 | No Retention 0 | Destroy | Current |
| Schedule #: 244 69#:Cigarette Refund Application | | | | | | |

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| Taxpayer request for refund of unsalable stamp. Typical file contains return with supporting documentation. (Paper will be destroyed after electronic imaging. RC to include imaged document and database data.) | Record Copy | 10/14/2015 | Years | 6 | No Retention | 0 Destroy Current |
| Schedule #: 309 72A:Charge-off Binders Individual sheets, memos, and summary for each charge-off to cover all taxes for outstanding liabilities. The charge-off is considered open/active until the debt is satisfied. | Paper | 7/14/2015 | Contingent Upon Event - See Description | 0 | No Retention | 0 Destroy Current |
| Schedule #: 309 72B:Charge-off Files All paper documents in paper file for all tax type charge-offs. Charge-off paperwork is scanned at the time the debt is charged-off (but still due) after scanned, destroyed. These Charge-off files were originally Collection paper files and are now deemed uncollectable thus charged-off. | Paper | 7/14/2015 | Months | 18 | No Retention | 0 Destroy Current |
| Schedule #: 319 73#:Sales Tax Exemption Determinations Determinations of sales tax exemptions, approvals and denials, for Commercial Agriculture, Commercial Fishing, Commercial Aquaculture, Commercial Wood Harvesting, Commercial Windjammers and Permanent Exemptions. A typical file will include an application with supporting documentation. [Paper will be destroyed after electronic imaging. RC to include imaged documents and database data.] | Record Copy | 10/15/2015 | Years | 6 | No Retention | 0 Destroy Current |
| Schedule #: 323 75#:State Valuation State valuation – unbound, and worksheets and notes. (Valuation paper copy kept 4 years and then imaged; paper then destroyed. Worksheets and notes kept 4 years in agency and then paper destroyed). State Valuation – imaged 2003 forward | Record Copy | 9/30/2011 | Years | 50 | No Retention | 0 Archives Current |

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| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status |
|---|-------------------|--------------|---------------------|----------------------|-------------|---------|
| State valuation - unbound. (Prior 2002 State Valuation) | Roll Microfilm | 11/7/1990 | Years 50 | No Retention 0 | Archives | Current |
| Schedule #: 348 77#:Form 1120-ES-ME and Form 1120-EXT-ME | | | | | | |
| Form 1120-ES-ME shows quarterly estimated payments of corporations and Form 1120-EXT-ME show payments made to cover any additional tax liability not covered by the estimated payments. [Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data] | Record Copy | 7/6/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 357 78#:Special Fuel Users Quarterly Tax Reports | | | | | | |
| Quarterly Diesel Fuel Report from Special Fuel Users, showing amount of liability and tax paid.Paper will be destroyed after electronic imaging. RC to include document and database data. | Record Copy | 7/6/2010 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 361 82#:Special Fuel & Gasoline Refund Application | | | | | | |
| Application for refund of overpayment of gasoline or special fuel taxes.Paper will be destroyed after imaging.RC to include imaged document and database data. | Record Copy | 7/6/2010 | Years 6 | 0 | Destroy | Current |
| Schedule #: 362 83#:Refund Application Aeronautical Fuel | | | | | | |
| Application for refund of overpayment of gasoline tax.Paper will be destroyed after imaging.RC to include imaged document and database data. | Record Copy | 7/6/2010 | Years 6 | 0 | Destroy | Current |
| Schedule #: 367 85#:Employers Reconciliation of Income Tax Withheld, Form W-3ME | | | | | | |
| Annual form used by employers to reconcile total income tax withheld for the year with the amount remitted to the Bureau.Paper will be destroyed after imaging.RC to include imaged document and database data. | Record Copy | 10/19/2010 | Years 10 | Years | Destroy | Current |
| Schedule #: 451 86#:Maine Franchise Tax Return for Financial Institutions, Form 1120B-ME | | | | | | |

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|---|--------------|--------------|---|----------------------|---|---------------------------|
| Form 1120B-ME, showing calculation of Franchise Tax paid to the State of Maine. Paper will be destroyed after imaging. RC to include imaged document and database data. | Record Copy | 10/19/2010 | Years 20 | 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 835 89#:Reconsideration Files | | | | | | |
| When taxes are assessed, a taxpayer may ask for reconsideration or abatement of taxes, interest and penalties assessed. Files include all taxes administered by MRS. Keep paper until the reconsideration file is closed, then it will be electronically attached to the original tax return and paper destroyed. | Paper | 7/6/2015 | Contingent Upon Event - See Description | 0 | No Retention | 0 Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 876 93#:Maps of Unorganized Territory Property | | | | | | |
| Maps cover the Unorganized Territory of 12 counties in Maine. Digital maps (GIS files) are updated on an ongoing, real-time basis as needed (subdivisions, surveys etc.) | Digital File | 9/26/2015 | Variable - See Description | 0 | No Retention | 0 See Description Current |
| <hr/> | | | | | | |
| Schedule #: 881 94A:Unorganized Territory Deeds - Copies | | | | | | |
| Records of property ownership: (a) Copies of original Unorganized Territory deeds; (b) Original Unorganized Territory Deeds. Keep in agency until duplicated/Keep in Records Center until township organized. | Paper | 10/26/1990 | Contingent Upon Event - See Description | 0 | Contingent Upon Event - See Description | 0 See Description Current |
| <hr/> | | | | | | |
| Schedule #: 881 94B:Unorganized Territory Deeds - Originals | | | | | | |
| Records of property ownership: (a) Copies of original Unorganized Territory deeds; (b) Original Unorganized Territory Deeds. Keep in agency until duplicated/Keep in Records Center until township organized. | Paper | 10/26/1990 | Contingent Upon Event - See Description | 0 | Contingent Upon Event - See Description | 0 See Description Current |
| <hr/> | | | | | | |
| Schedule #: 889 97#:Close-outs | | | | | | |
| All tax files that are kept for collection. When the collection process is finished, the debt has been satisfied by either a payment in full or an offer/compromise, then the paper file is scanned as an Entity Tracer (see Schedule 1795, Series #119) and the paper is destroyed. | Paper | 7/14/2015 | Contingent Upon Event - See Description | 0 | No Retention | 0 Destroy Current |
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|--|-------------|--------------|---|----------------------|-------------|---------|
| Schedule #: 905 100#:Federal Enforcement Matching Report | | | | | | |
| Computer runs listing the 1040 assessments or demands generated by the CP 2000 program. [This is produced and stored electronically. Any paper copies used during normal business will be destroyed.] | Record Copy | 7/24/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 1082 101#:IRS Federal Returns | | | | | | |
| Federal Tax Information (FTI) is broad and describes a wide array of information received directly from the IRS, and other federal agencies (e.g. US treasury, Social Security Administration, Homeland Security). Both in the form of paper or electronic format. This information typically consists of tax returns or return information and may contain personally identifiable information (PII). FTI must be safeguarded according to IRS Publication 1075 standards. Except otherwise described in other Agency retention schedules, FTI should be destroyed when it is no longer needed, per IRS Publication 1075. | Mixed | 7/6/2015 | Contingent Upon Event - See Description | No Retention 0 | Destroy | Current |
| Schedule #: 1160 102#:Paper Tax Payment Vouchers | | | | | | |
| Paper payment vouchers sent from taxpayers to be applied against Maine State tax liabilities. [Paper will be destroyed after electronic imaging. RC to include imaged document and database data.] | Record Copy | 8/24/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 1161 103#:Maine Tax Amnesty Return Batches | | | | | | |
| Batches of Tax return/applications to participate in the Maine Tax Amnesty program. | Paper | 7/14/2015 | Years 4 | No Retention 0 | Destroy | Current |
| Schedule #: 1226 106#:Special Fuel Supplier Report | | | | | | |
| Companies send in total gallons of special fuel sold and used; both taxable and non-taxable. Records are used for audit purposes by Maine Revenue Services. [Paper will be destroyed after electronic imaging. RC to include imaged document and database data.] | Record Copy | 10/14/2015 | Years 6 | No Retention 0 | Destroy | Current |

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|---|-------------|--------------|---------------------|----------------------|-------------|---------|
| Schedule #: 1284 107#:Quarterly and Annual Surplus Lines Premium Tax these files are insurqnce surplus lines of insurance, I.e., if someone is normally uninsurable he/she may go to an insurance company that carries surplus lines of insurance designed especially for that person so that they may be insured, at a premium, of course. A surplus line of insurance is a special type of insurance that most insurance companies do not carry; i.e., if a dancer wants to insurance her legs or a T.V. personality his smile, they must get this suplus line of insurance. Quarterly Returns (INS 6) 10 Yrs. retention Annual Returns (INS 7) 10 Yrs retention [Paper will be destroyed after electronic imaging. DF to include Imaged Document and Database Data.] | Record Copy | 11/7/2011 | Years 10 | 0 | Destroy | Current |
| Schedule #: 1295 108#:Motor Vehicle Dealer Supplemental Report (ST-8) The supplemental reports are returns required of all motor vehicle dealers. They are used by Division staff to verify that all sales of vehicles are reported and that the correct amount of sales tax has been collected and remitted. Each file contains a year's worth of these returns. [Paper to be destroyed after imaging, electronic files to be maintained on the network server. RC to include imaged documents, electronic files and database data.] | Record Copy | 8/25/2015 | Years 6 | No Retention | 0 Destroy | Current |
| Schedule #: 1787 110#:Real Estate Withholding The state of Maine requires a buyer to withhold state income tax when real property located in Maine is acquired from a non-resident of Maine. The REW-1 form is filed by the taxpayer or closing agent to report that withholding and is used by tax examiners to verify information about the seller, the property and the monies withheld. REW-5 form is a request for exemption or reduction in withholding of Maine Income Tax on the disposition of Maine real property. It is used by a Tax Examiner to evaluate whether or not a sales transaction might be exempt from withholding due to and expected loss on the sale or a gain so small that the full 2.5% withholding is not required | Record Copy | 11/8/2010 | Years 5 | 0 | Destroy | Current |
| Schedule #: 1788 111#:State Tax Exchange Information | | | | | | |

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|---|-------------|-----------------|---------------------|----------------------|-------------|---------|
| Maine is a signatory of the Uniform Exchange of Information Agreement, a bilateral agreement to share confidential taxpayer information between participating agencies (U.S. states, District of Columbia, Puerto Rico) for the purposes of tax administration only. | Record Copy | 6/9/2016 Years | 7 | No Retention | 0 Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1789 112#:Confidential Tax Information Agreements for Contract Employees | | | | | | |
| All persons, whether State government employees or a Contractor's employees, who may have potential access to confidential taxpayer information, are required to review the confidentiality policy and sign a Confidential Tax Information Agreement. This inventory pertains to the agreements signed by Contractor employees and employees of State agencies other than Maine Revenue Services. | Record Copy | 11/8/2010 Years | 6 | 0 | Destroy | Current |
| <p>The records are used by Maine Revenue Services to enforce the laws of this state and the federal government pertaining to confidential tax information. The documents are audited by the federal Internal Revenue Service in the Safeguard Review which occurs every 3 years.</p> <p>The records are the actual Confidential Tax Information Agreements signed by the Contractor's employees.</p> | | | | | | |
| <hr/> | | | | | | |
| Schedule #: 1790 113#:Econometric Research | | | | | | |
| Tax revenues provide the funds to operate the State and all its programs. The Econometric Research Division looks at trends on where the revenues are coming from (income tax, property tax, sales & use tax) and uses that information to make forecasts on which the State's budget is based. Similarly, if proposed legislation may impact revenue by, for example, giving a tax exemption, the Econometric Research Division must prepare an analysis (fiscal note) with an estimate of how much revenue the State might lose if that exemption were to become law. | Record Copy | 11/8/2010 Years | 5 | 0 | Destroy | Current |
| <p>These records consist of the data warehouse model runs, tax model runs, research materials and spreadsheets that are used to support the conclusions published in the legislative fiscal notes and revenue estimates. The data changes constantly, but it is important to know the methodology used to formulate the final reports and to maintain consistency.</p> <p>The final fiscal notes and revenue estimates are used by the Legislative and Executive branches of Maine State Government.</p> | | | | | | |
| <hr/> | | | | | | |
| Schedule #: 1792 116#:Correspondence of the Taxpayer Advocate | | | | | | |

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|--|-------------|-----------------|---------------------|----------------------|-------------|-----------------|
| <p>The Taxpayer Advocate is employed by Maine Revenue Services and reports directly to the Deputy State Tax Assessor. The Taxpayer Advocate's role is to assist taxpayers with any questions or issues involving the administration of Maine tax laws.</p> <p>These records consist of correspondence requesting information on taxation programs or assistance with taxation/compliance issues and have been referred to the Taxpayer Advocate of Maine Revenue Services for review and recommendation as to possible disposition. Some correspondence is addressed directly to the Taxpayer Advocate, but the majority is referred from the offices of Maine's Congressional Representatives, Senators, the Governor or other State agencies.</p> <p>The Taxpayer Advocate keeps copies of his responses and any notes he found relative to the issue at hand. Sometimes, these copies and notes become part of the case file if the taxpayer has a compliance issue or has requested reconsideration of a tax assessment.</p> | Record Copy | 11/8/2010 Years | 20 | 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1793 117#:Legislative Reports | | | | | | |
| <p>The reports are prepared by MRS at the direction of the Legislature or Legislative Committees and are often required by statute. The reports provide information regarding the State's tax collection and tax benefit programs.</p> <p>[Record Copy includes paper copies in file drawers and digital copies with the Excel tracking list on MRS network computer drive "S".]</p> | Record Copy | 7/6/2015 Years | 8 | No Retention | 0 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 1793 118#:State Tax Assessor's Legislative Files | | | | | | |

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|---|-------------|--------------|---------------------|----------------------|-------------|---------|
| A file is maintained on each proposed bill that may have an impact on the State's revenues or the administration of its tax programs. | Record Copy | 11/8/2010 | Years 50 | 0 | Destroy | Current |

Very often, bills are proposed that are similar to proposals from a previous legislative session. It is very helpful for staff members who deal with tax policy and legislative issues to be able to refer to this information.

Each file contains a copy of the initial bill and any amendments. There may also be a Memo from the State Tax Assessor (if one was prepared) to the appropriate Legislative Committee detailing how the proposed bill as written might impact the State's revenues or the administration of its tax programs. A fiscal note and/or an administrative cost analysis may be attached to the Memo. Notes from the public hearing and Committee work sessions may be included, along with copies of any testimony or other related material. If the bill is enacted, a copy of the final version will be included in the file.

Schedule #: 1795 119#:Entity Tracers

| | | | | | | | | |
|---|-------------|-----------|-------|----|--------------|---|---------|---------|
| The agency retains these records that are specific to a taxpayer and tax type. This allows all divisions in Maine Revenue Services (MRS) to utilize these for business purposes to identify, assess, or determine compliance of tax laws and rules. A typical file may include and not limited to a letter from taxpayer, telephone conversation notes, audit files, audit notes, or other miscellaneous materials. | Record Copy | 7/21/2015 | Years | 20 | No Retention | 0 | Destroy | Current |
|---|-------------|-----------|-------|----|--------------|---|---------|---------|

[Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data]

Schedule #: 1796 120#:Business Equipment Tax Reimbursement Return

| | | | | | | | | |
|--|-------------|-----------|-------|---|--------------|---|---------|---------|
| Business Equipment Tax Reimbursement is a program where business taxpayers may apply for tax relief based on personal property tax paid to a municipality. The agency keeps these records to evaluate the eligibility of taxpayer for a refund and the amount of refund due from this program. The record typically consists of Form 801, 801A, 801B and other supporting documentation. | Record Copy | 9/16/2015 | Years | 6 | No Retention | 0 | Destroy | Current |
|--|-------------|-----------|-------|---|--------------|---|---------|---------|

[Paper to be destroyed after imaging, RC to include imaged documents and database data.]

Schedule #: 1797 121#:Employment Tax Increment Financing Application

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|---|-------------|------------------|---------------------|----------------------|-------------|---------|
| This record details the business information and summary of the applicants gross income tax withholding for qualified employee's and total withholding from all employee's. MRS management reviews the records to verify that the business meets all requirements and that the reimbursement requested is correct. [RC to include Imaged Document and Computer Disk] | Record Copy | 7/6/2015 Years | 6 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1798 122#:Information Returns and Schedule PSI (Partner/Shareholder Income) | | | | | | |
| Information returns are kept to ensure that the income is being claimed on the owners' personal income tax returns. The information return details the name and address of the company as well as how many owners are residents or non-residents of Maine and the amount of taxable income apportioned to Maine. The PSI (partner/shareholder income) form gives details about the owners of the company such as name, address, percentage of ownership of the company as well as the owners' share of the taxable income. | Record Copy | 11/15/2010 Years | 10 | 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1799 123#:Media Wage Reimbursement Application | | | | | | |
| Records are kept to ensure that businesses meet all the requirements of the program. The record details the wages paid to Maine and non-Maine individuals and is used by Maine Revenue Services management to ensure the reimbursements are all certified and that the businesses requesting reimbursement meet all requirements of the program. [RC to include Imaged Document and Computer Disk] | Record Copy | 7/6/2015 Years | 6 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1800 124#:Criminal Tax Investigations | | | | | | |
| Files contain evidence gathered as a result of conducting criminal tax investigations of Maine State tax laws. The evidence is used by Maine Revenue Services' Criminal Investigators and support staff, as well as the Maine Attorney General's Office, to support the State's burden of proof requirement in a criminal prosecution. Each file will typically contain evidence such as: Case summary reports and spreadsheets, court documents, Federal tax information and tax returns provided by the Internal Revenue Service, State tax returns, wage and earnings information, Department of Motor Vehicle records and bank records. | Mixed | 7/6/2015 Years | 10 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1801 125#:Estate Tax | | | | | | |

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|--|-------------|-----------------|---------------------|----------------------|-------------|---------|
| When a person who owns Maine property dies, the State of Maine automatically places a lien on the decedent's Maine property. The estate must file an Estate tax return within nine months of the date of death in order to get the lien released. If the estate does not exceed the threshold, set by legislation, in assets, an Estate Tax form would be file din order to get the lien release. Tax years 2012 and prior file 706ME-EZ and 2013 and after would file 700-SOV. If the assets are over the threshold they would file the 706-ME, which starts with Federal Total Gross Estate and is used to figure any tax owed by the decedent's estate. When the tax liability is paid or estate has been found not liable, the Maine Certificate of Discharge of Estate Tax Lien is issued. 706ME-EZ, 700-SOV and 706ME are used by Tax Examiners and Tax Auditors to review the estate's financial records and determine what tax, if any, is owed before releasing the lien. | Record Copy | 7/13/2015 Years | 20 | No Retention | 0 Destroy | Current |

[Paper will be destroyed after imaging, review and the issuance of the Estate Tax Closing letter. RC to include Imaged Document and Database Data]

Schedule #: 1866 127#:Gasoline and Special Fuel Floor Stock Returns

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|--|-------------|-----------------|---|--------------|-----------|---------|
| The agency keeps these records to support the fuel excise tax program. The records are tax returns which certain taxpayers are required to file when the tax rate changes. The returns are processed by Maine Revenue Service employees to determine revenues, make assessments, provide taxpayer assistance and for audit purposes. | Record Copy | 8/25/2015 Years | 6 | No Retention | 0 Destroy | Current |
|--|-------------|-----------------|---|--------------|-----------|---------|

[Paper to be destroyed after imaging. RC to include imaged documents, electronic files and database data.]

Schedule #: 1867 128#:Initiator of Deposit Return

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|--|-------------|------------------|---|--------------|-----------|---------|
| The agency keeps these records to support the bottle bill statutes. In statute, beverage companies that collect and redeem the bottle deposit are called the Initiator of Deposit. The return is used to reconcile bottle deposits collected that have not been redeemed. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a tax return. | Record Copy | 12/19/2011 Years | 6 | No Retention | 0 Destroy | Current |
|--|-------------|------------------|---|--------------|-----------|---------|

Schedule #: 1868 129#:Milk Handling Fee Return

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|---|-------------|--------------|---------------------|----------------------|-------------|---------|
| <p>The agency keeps these records to support the milk handling fee program. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a tax return.</p> <p>[Paper to be destroyed after imaging. RC to include imaged documents and database data.]</p> | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1869 130#:Political Subdivision Fuel Excise Tax Refund Application | | | | | | |
| <p>The agency keeps these records to support the fuel excise tax refund program. These are refunds of excise tax paid by political subdivisions of the state. The records are used by various Maine Revenue Service employees to determine the amount of tax requested for refund. Refunds are issued. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of refund was requested. A typical file contains a refund application.</p> | Record Copy | 12/19/2011 | Years 6 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1870 131#:Healthcare Provider Tax Reconciliation Return | | | | | | |
| <p>The agency keeps these records to support the health care provider tax program. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a payment voucher. The form is filed annually to reconcile the tax due and estimated payments previously submitted.</p> <p>[Paper to be destroyed after imaging. RC to include imaged documents and database data.]</p> | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1870 132#:Healthcare Provider Estimate Payment Forms | | | | | | |

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|---|-------------|--------------|---------------------|----------------------|-------------|---------|
| <p>The agency keeps these records to support the health care provider tax program. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a payment voucher. The form is filed monthly by taxpayers with a monthly estimated tax payment.</p> <p>[Paper to be destroyed after imaging. RC to include imaged documents and database data.]</p> | | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 1871 133#:Hospital Tax Return | | | | | | |
| <p>The agency keeps these records to support the hospital tax program. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. A typical file contains a tax return.</p> <p>[Paper to be destroyed after imaging. RC to include imaged documents and database data.]</p> | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 1872 134#:Pine Tree Zone Applications | | | | | | |
| <p>The agency keeps these records to support the Pine Tree Zone (PTZ) exemption program. The records are used by various MRS employees to determine eligibility for sales tax exemptions and refunds. A typical file contains a certification letter, PTZ certificate, a notification letter received by the taxpayer from the Dept. of Economic and Community Development.</p> <p>[Paper to be destroyed after imaging. RC to include imaged documents and database data.]</p> | Record Copy | 8/26/2015 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 1874 137#:Gasoline Distributor Annual Shrinkage Returns | | | | | | |

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|---|-------------|--------------|---------------------|----------------------|-------------|---------|
| The agency keeps these records to support the gasoline excise tax program. The records show the annual amount of gasoline shrinkage, that is, the amount not accounted for by ending inventory and sales data. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a tax return. [Paper to be destroyed after imaging. RC to include imaged documents and database data.] | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |

Schedule #: 1874 138#:Special Fuel Shrinkage Tax Returns

| | | | | | | |
|--|-------------|-----------|---------|----------------|---------|---------|
| The agency keeps these records to support the non-gasoline, special fuel excise tax program. The records show the annual amount of special fuel shrinkage, that is, the amount not accounted for by ending inventory and sales data. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a tax return. [Paper to be destroyed after imaging, electronic files to be maintained on the network server. RC to include imaged documents, electronic files and database data.] | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
|--|-------------|-----------|---------|----------------|---------|---------|

Schedule #: 1875 139#:Service Provider Tax Return

| | | | | | | |
|--|-------------|-----------|---------|----------------|---------|---------|
| The agency keeps these records in the administration of the service provider tax under Title 36, Chapter 358. The records are used by various Maine Revenue Service employees to determine the amount of tax reported. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a tax return. [Paper to be destroyed after imaging. RC to include imaged documents and database data.] | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
|--|-------------|-----------|---------|----------------|---------|---------|

Schedule #: 1876 140#:Individual Use Tax Return

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|--|-------------|-----------------|---------------------|----------------------|-------------|---------|
| The agency keeps these records to support the sales and use tax program. The records are used by various Maine Revenue Service employees to determine the amount of use tax reported by individuals. Use tax is imposed on the storage or use of tangible personal property in Maine, the sale of which would be subject to sales tax. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a use tax return filed by an individual person. | Record Copy | 8/28/2015 Years | 6 | No Retention | 0 Destroy | Current |

[Paper to be destroyed after imaging. RC to include imaged documents and database data.]

Schedule #: 1876 141#:Business Use Tax Return

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|--|-------------|-----------------|---|--------------|-----------|---------|
| The agency keeps these records to support the sales and use tax program. The records are used by various Maine Revenue Service employees to determine the amount of use tax reported by businesses. Use tax is imposed on the storage or use of tangible personal property in Maine, the sale of which would be subject to sales tax. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a use tax return filed by a business entity. | Record Copy | 8/28/2015 Years | 6 | No Retention | 0 Destroy | Current |
|--|-------------|-----------------|---|--------------|-----------|---------|

[Paper to be destroyed after imaging. RC to include imaged documents and database data.]

Schedule #: 1877 142#:Voluntary Disclosure Documents

| | | | | | | |
|---|-------------|------------------|---|--------------|-----------|---------|
| The agency keeps these records to support the voluntary disclosure program. A taxpayer can come forward voluntarily to report past due tax liabilities that the State of Maine has not yet discovered. The records are used by various Maine Revenue Service employees to determine whether a taxpayer qualifies for penalty exemption under the voluntary disclosure program. A typical file contains a letter of intent, agreement, and and spreadsheet of liability. | Record Copy | 12/19/2011 Years | 3 | No Retention | 0 Destroy | Current |
|---|-------------|------------------|---|--------------|-----------|---------|

Schedule #: 1942 143#:Certified Mailing Address Firm Book Listing

| | | | | | | |
|---|--------------|-----------------|---|--------------|-----------|---------|
| When Certified notices are mailed, the PostMaster application creates a listing of names and addresses, called a firm book, which is sent electronically to USPS for verification. Maine Revenue Services (MRS) maintains the electronic version of the firm book within the PostMaster application and can be printed, if needed, for research, audit work, or litigation. | Digital File | 12/1/2014 Years | 7 | No Retention | 0 Destroy | Current |
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|---|--|--------------|---------------------|----------------------|--------------|--------|---------|---------|
| Current working papers used as reference copies | Paper | 12/1/2014 | No Retention | 0 | No Retention | 0 | Destroy | Current |
| <hr/> | | | | | | | | |
| Schedule #: 1971 | 144#:Quarterly Return Payment Voucher and Extension Payment Voucher for Pass thru Entity Withholding Form 901ES-ME | | | | | | | |
| Form 901ES-ME is a quarterly return payment voucher and extension payment voucher which will allow the user to make a quarterly payment for Pass Thru Entity Withholding while allowing Maine Revenue Service to identify which account the money is to be applied to. (Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data) | Record Copy | 7/6/2015 | Years | 6 | No Retention | 0 | Destroy | Current |
| <hr/> | | | | | | | | |
| Schedule #: 1972 | 145#:Quarterly Return Payment Voucher for Maine Unemployment Contributions Form ME UC-1-PV | | | | | | | |
| Form ME UC-1 PV is a quarterly return payment voucher which will allow the user to make a quarterly payment for the Maine Unemployment Contributions report while allowing Maine Revenue Service to identify which account the money is to be applied to. (Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data) | Record Copy | 7/6/2015 | Years | 6 | No Retention | 0 | Destroy | Current |
| <hr/> | | | | | | | | |
| Schedule #: 1973 | 146#:Employers Return of Unemployment Compensation Paid by Employers Form ME UC-1 and Form ME UC-1A | | | | | | | |
| Form ME UC-1 is a quarterly Maine Employers Return of unemployment taxes paid by employers. Employers calculate the unemployment tax based on the gross wages of the employees. Schedule 2 of the return is used to verify gross wages of the employees and to calculate unemployment wages for employees. Form ME UC-1A is used to amend the Maine Employers Return. (Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data) | Record Copy | 7/6/2015 | Years | 10 | No Retention | 0 | Destroy | Current |
| <hr/> | | | | | | | | |
| Schedule #: 1974 | 147#:Combined Report for Corporations Form CR | | | | | | | |
| Form CR provides a list of companies that file their tax returns as one group. It provides a breakdown of the income of each corporation and any sales in Maine as well as sales everywhere. Form CR also provides the total taxable income of the group. (Paper will be destroyed after electronic imaging. RC to include Imaged Document and Database Data) | Record Copy | 7/6/2015 | Years | 20 | No Retention | 0 | Destroy | Current |
| <hr/> | | | | | | | | |
| Schedule #: 1975 | 148#:Maine Revenue Services Visitors Log/Tax Compliance Unit | | | | | | | |

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|---|-------------|--------------|---|----------------------|-------------|---------|
| Visitor logs are maintained to track access to the buildings and the specific secure office areas where files containing Federal Tax Information are kept. The log is maintained to meet IRS safeguards requirements. The log template contains all of the identifying information that is required by IRS Publication 1075 - visitor name, signature, organization and unit, form of identification, person visited and their organization, reason for entry, the date, and time in and out. | Paper | 7/6/2015 | Years 5 | No Retention 0 | Destroy | Current |
| Schedule #: 1976 149#:Warrants | | | | | | |
| Legal documentation sent to the court system ordering the taxpayer to pay the debt due. Lists tax periods and debt amounts. Compliance utilizes this as a collection tool for payment of tax debts and maintains originals. Warrants are kept until the debt is resolved or satisfied. | Paper | 7/14/2015 | Contingent Upon Event - See Description | No Retention 0 | Destroy | Current |
| Schedule #: 1977 150#:Collections Paper Files | | | | | | |
| Compliance keeps these files to refer to as necessary. Compliance Division utilizes these files while working a case. A typical file may contain: Personal Financial Statements, Tax returns, correspondence, screen prints, levy material, copies of e-mails or anything the taxpayer sends in for information. This supports the collection of a tax liability. The file is considered open until the liability has been deemed satisfied. | Paper | 7/14/2015 | Contingent Upon Event - See Description | No Retention 0 | Destroy | Current |
| Schedule #: 1980 151#:Commercial Forestry Excise Tax Returns | | | | | | |
| Commercial Forestry excise Tax Returns and supporting documentation used by the agency to determine the amount of tax due. | Record Copy | 8/26/2015 | Years 6 | No Retention 0 | Destroy | Current |
| [Paper to be destroyed after imaging, RC to include imaged documents and database data.] | | | | | | |
| Schedule #: 1983 152#:Sales Tax Refund Application and Determination | | | | | | |

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| The application supports the refund program for sales and use tax. The refund application and supporting documentation are reviewed by various Maine Revenue Services' employees to determine the refund of sales tax paid on the purchase of various materials and services which are exempted by statute. These include but are not limited to, tax paid on machinery and equipment used in production or for research, 28 day stay for lodging and tax that was erroneously collected. A typical file will contain an application request and supporting documentation. | Record Copy | 10/15/2015 Years | 6 | No Retention | 0 Destroy | Current |

[Paper to be destroyed after imaging, electronic files to be maintained on network server. RC to include imaged documents, electronic files and database data.]

Schedule #: 1984 153#:Sales Tax Refund Application and Determination for Commercial Agricultural Production, Commercial Fishing or Aquacultural Production

| | | | | | | |
|---|-------------|------------------|---|--------------|-----------|---------|
| The application supports the refund program for commercial agriculture production, commercial fishing or aquacultural production. The refund application and supporting documentation are reviewed by various Maine Revenue Services employees to determine the refund of sales tax paid on the purchase of depreciable machinery, equipment or repair parts for use in commercial agricultural production, commercial fishing or aquacultural production. A typical file will contain an application request and supporting documentation. | Record Copy | 10/15/2015 Years | 6 | No Retention | 0 Destroy | Current |
|---|-------------|------------------|---|--------------|-----------|---------|

[Paper to be destroyed after imaging, electronic files to be maintained on network server. RC to include imaged documents, electronic files and database data.]

Schedule #: 2011 154:Tax Declaration for Cigarettes

| | | | | | | |
|--|-------------|----------------|---|--------------|-----------|---------|
| The agency keeps these records to support the sales/use and excise tax programs. | Record Copy | 6/7/2016 Years | 6 | No Retention | 0 Destroy | Current |
| The records are used by various Maine Revenue Service employees to determine the amount of excise tax and use tax reported by individuals on cigarettes brought into Maine. | | | | | | |
| Excise tax and use tax are imposed on the storage or use of cigarette products brought into Maine, the sale of which would be subject to sales and excise tax. Forms are reviewed by audit staff when conducting an audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a Tax Declaration for Cigarette Products. | | | | | | |

[Paper to be destroyed after imaging. RC to include imaged documents and database data.]

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|--|--------------|--------------|---------------------|----------------------|-------------|---------|
| Schedule #: 2011 155:Tax Declaration for Other Tobacco Products The agency keeps these records to support the sales/use and excise tax programs. The records are used by various Maine Revenue Service employees to determine the amount of excise tax and use tax reported by individuals on tobacco products, other than cigarettes, brought into Maine. Excise tax and use tax are imposed on the storage or use of tobacco products brought into Maine, the sale of which would be subject to sales and excise tax. Forms are reviewed by audit staff when conducting and audit of a taxpayer to determine whether the correct amount of tax was reported. A typical file contains a Tax Declaration for Other Tobacco Products. [Paper to be destroyed after imaging. RC to include imaged documents and database data.] | Record Copy | 6/7/2016 | Years 6 | No Retention 0 | Destroy | Current |
| Schedule #: 2012 156:Centrevue Statistics Records are maintained to support and assist agency personnel. Records are used by supervisors to determine staffing requirements for phone coverage within the taxpayer assistance unit and to assist in staff development. A typical file will contain a breakout of calls received and made by the unit. | Digital File | 6/24/2016 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 2014 157:Maine Revenue Services Security Logs Maine Revenue Services utilizes logs for the following reasons: Security Visitor Logs to track visitors to 51 Commerce Drive, Kelly Contract Security Log to track Kelly Contract staff members who are not issued a normal badge, Lawson Property Management (Landlord representative) Badge Log, Key Inventory Log for keys checked out, Package Receipt Logs to track when packages are received by Front Desk Security. | Paper | 7/18/2016 | Years 1 | No Retention 0 | Destroy | Current |

127#:Office of Information Technology

Schedule #: 461 14#:Applicant Tracking Documentation

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| Programs to run the Applicant Tracking, Test Scoring and Item Banking Systems; miscellaneous statistical routine for Employee and Test Analysis. Keep agency copy while active; keep security copy while active; destroy when superseded with updated copy. Daily, weekly, monthly backups are done per Nancy Parmenter, BIS. Monthly backups stored at Iron Mtn. Facility. | Magnetic Tape | 2/19/1986 | Destroy When Updated | 0 No Retention | 0 Destroy | Current |
| Schedule #: 591 1A:Comprehensive State Master Plan: Report | | | | | | |
| 1)Comprehensive State Master Plan Report: The Master Plan is a compilation of all State agency business plans and the Bureau of Data Processing and Office of Information Services. | Paper | 12/9/1986 | Years | 3 No Retention | 0 Destroy | Current |
| Schedule #: 591 1B:Comprehensive State Master Plan - Agency Business Plan | | | | | | |
| 2) Agency Business Plans: Agency Business Plans will come all State departments and the information will be used to put the Master Plan together. It will include all information pertaining to data processing. | Paper | 12/9/1986 | Years | 1 No Retention | 0 Destroy | Current |
| Schedule #: 751 20#:OIS Organization Records | | | | | | |
| Minutes of OIS staff meetings held weekly, organizational chart of OIS. | Paper | 5/25/1989 | Years | 3 No Retention | 0 Destroy | Current |
| Schedule #: 751 21#:Activity Reports - OIS | | | | | | |
| Reports on accomplishments, concerns, etc. for one week. These reports are produced by the various divisionsin OIS and also a weekly report from the Commissioner's office. | Paper | 5/25/1989 | Destroy When Updated | 3 No Retention | 0 Destroy | Current |
| Schedule #: 751 22#:Steering Committees - OIS | | | | | | |
| Steering committee meetings, agendas of meetings, list of members of the meetings. These steering committee meetings are: Geographical Information Systems and Data Base Management Systems. | Paper | 5/30/1989 | Years | 3 No Retention | 0 Destroy | Current |
| Schedule #: 751 23#:Correspondence (General) (Administration OIS) | | | | | | |

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|---|------------|--------------|---|----------------------|-------------|---------|
| Correspondence includes: memorandums, letters, agreements, performance indicators, questionnaires, resumes, between OIS and various departments/agencies/bureaus/vendors/customers/public. | Paper | 5/30/1989 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 751 24#:Training Classes - OIS | | | | | | |
| The documents include billings of the training classes, list of classes completed, reimbursement requests for educational courses. These courses are usually given to State employees. Keep in agency 1 1/2 years. | Paper | 5/30/1989 | Years 2 | No Retention 0 | Destroy | Current |
| Schedule #: 751 25#:Information Services Policy Board | | | | | | |
| This board was set up by the legislature under Title IV. The documents include: minutes of meetings, agendas of the meetings and list of members. To provide for the coordination of data processing and computer programming activities of State Government. | Paper | 5/30/1989 | Years 5 | Years 2 | Archives | Current |
| Schedule #: 759 3#:Bureau of Data Processing Billing (Microfiche) | | | | | | |
| Monthly invoice billing to agencies for computer services. Retain in agency until audit. | Paper | 6/7/1989 | Retention of Less than 1 Year - See Description | No Retention 0 | Destroy | Current |
| Monthly invoice billing to agencies for computer services. | Microfiche | 6/7/1989 | Years 2 | Years 5 | Destroy | Current |
| Schedule #: 916 5#:Problem Resolution Team (PRT) files | | | | | | |
| Problem Resolution Teams are groups of technical experts brought together to resolve critical computer problems (mainframe or network). Help desk or a manager assembles PRTs. They are disassembled when the resolution is completed. Keep in agency for one year after problem is resolved. | Paper | 3/11/1991 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 927 6#:Problem Reports (Hard Disk) | | | | | | |

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| Reports are reviewed for possible system problems and potential chargebacks or credits to agencies. These are reports of what went wrong with the indicated computer system and what the customer did to fix it. Keep on tape for 2 years. | Magnetic Tape | 1/27/1997 | Years 3 | No Retention 0 | Destroy | Current |
| Reports are reviewed for possible system problems and potential chargebacks or credits to agencies. These are reports of what went wrong with the indicated computer system and what the customer did to fix it. Keep paper in agency for 2 weeks. | Paper | 4/10/1991 | Retention of Less than 1 Year - See Description | No Retention 0 | Destroy | Current |
| Schedule #: 1213 26#:Operations Supervisor - Operators Schedules These files are used as references to maintain supervisory duties. Contains in these files are: staff schedule, on call roster, staff overtime roster. Staff Schedule helps in scheduling overtime, vacations, sick time and still maintain ample coverage on operationss floor. On-call roster is scheduling or operators for holidays, and weekends on a rotation basis. Staff overtime roster is used in scheduling overtime and in case of no volunteers, used in cases of inverse seniority. | | | | | | |
| | Paper | 1/27/1997 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 1213 27#:Operations Supervisor - Change Requests This file contains a form that is filled out when a special request is made to change the normal operating procedures for the Bull & IBM systems. Types of changes which may be requested are: an upgrade to software; to document any changes made to software & hardware of various systems which is to be deleted, added or upgraded. Staff overtime roster is used in scheduling overtime and in case of no volunteers, used in cases of inverse seniority. | | | | | | |
| | Paper | 1/27/1997 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 1213 28#:Operations Supervisor - Production Job Documents This file is needed by supervisors and operators for production jobs. Tells how many tapes and cartridges used to a given job. Also tells if any special forms are needed for a particular job. Keep in agency until updated. | | | | | | |
| | Paper | 1/27/1997 | Destroy When Updated 0 | No Retention 0 | Destroy | Current |
| Schedule #: 1213 29#:Operations Supervisor - Auxiliary IBM & Bull Billing | | | | | | |

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| This file is kept on site in use for questions about billing form customers and for use in charge backs and is used strictly by the supervisor. Billing for the Bull or IBM mainframes includes Department code; processing time; type of job; rate of job; type of operation; bursting; decolating or sealing. | Paper | 1/27/1997 | Years 1 | No Retention 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1287 31#:ISPB Policy Draft Comments | | | | | | |
| Comments solicited by policy makers to initial draft policies. Keep in Agency 6 months. | Magnetic Tape | 10/1/1998 | Years 6 | Years 0 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 1582 2#:GIS Projects | | | | | | |
| GIS creates, maintains and assists in the computer generation of Maine maps for the purpose of storage, overlays and information about geographic areas in Maine. Documents include Digital Map Project, Coding format form, productivity log tracking sheet. Keep in agency until complete plus 2 years. This series has been transferred to the Bureau of Information Services from Conservation Schedule 995, Series 2P. | Paper | 7/30/1990 | Years 2 | Years 25 | Archives | Current |
| <hr/> | | | | | | |
| Schedule #: 1681 30:E911 Addressing and Data Development Program | | | | | | |
| .) In 1993 the Maine Legislature enacted a statute, "MRS Title 25, Chapter 352: EMERGENCY SERVICES COMMUNICATION" that required the Emergency Service Communications Bureau to provide technical assistance to any municipality that requested assistance in developing standard physical addressing. These records show the progress for each town that went through that process. Correspondence may include instructions, issues, reasons for road name changes, addressing standards adopted and municipal and state officials involved in the process. Various maps may also be present that show requested changes in road names, address ranges, and other relevant information including but not limited to town boundary issues, USPS coordination issues. These records are of a historical nature and are no longer needed to support the Enhanced 9-1-1 system. The records were used by Maine Geographic Information Systems Addressing staff and the local Addressing Authorities. Maine's E911 was the model used for other 911 systems in the United State. | Paper | 6/9/2008 | Years 0 | Years 0 | Archives | Current |
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| .) In 1993 the Maine Legislature enacted a statute, "MRS Title 25, Chapter 352: EMERGENCY SERVICES COMMUNICATION" that required the Emergency Service Communications Bureau to provide technical assistance to any municipality that requested assistance in developing standard physical addressing. These records show the progress for each town that went through that process. Correspondence may include instructions, issues, reasons for road name changes, addressing standards adopted and municipal and state officials involved in the process. Various maps may also be present that show requested changes in road names, address ranges, and other relevant information including but not limited to town boundary issues, USPS coordination issues. These records are of a historical nature and are no longer needed to support the Enhanced 9-1-1 system. The records were used by Maine Geographic Information Systems Addressing staff and the local Addressing Authorities. Maine's E911 was the model used for other 911 systems in the United State. | Hard Disk | 6/9/2008 | Years 0 | Years 0 | Archives | Current |
| 123#:Purchases | | | | | | |
| Schedule #: 72 34#:Contracts and RFP's | | | | | | |
| Original contract for services performed by non-state agencies. Contracts are now being scanned by the Division of Purchases and stored in Fortis. | Digital File | 7/9/2014 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 119 55#:Purchase Order Encumbrances | | | | | | |
| Accounts & Control encumbrance copy of Purchase Order. This schedule is now being stored in the State's financial accounting system AdvantageME. | Digital File | 7/9/2014 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 1271 1#:State Purchasing Agent Correspondence | | | | | | |
| Correspondence of the State Purchasing Agent. | Paper | 3/7/2000 | Years 3 | Years 0 | Archives | Current |
| Schedule #: 1352 56P:Appeals (Division of Purchases) | | | | | | |
| These are records of appeal hearings which create action on awards of contracts. This information is frequently reviewed for relevance to future procurement appeals and final decisions. Files include: exhibits, decisions and related correspondence. | Mixed | 7/9/2014 | Years 2 | Years 5 | Destroy | Current |

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| Schedule #: 1936 57#:Requests for Proposals and Service Contracts (BP54) Service contracts requested by agencies to provide a unique service. Contracts are now being scanned by the Division of Purchases and stored in Fortis. | Digital File | 7/9/2014 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 1937 58#:Bids, Requisitions and Purchase Orders Prices submitted by vendors; prices received on special commodities, requisitions; Division of Purchases copy of purchase orders. | Digital File | 7/9/2014 | Years 7 | No Retention 0 | Destroy | Current |
| 133#:Risk Management | | | | | | |
| Schedule #: 147 1#:Building Appraisal Files These files contain the year of construction or acquisition of State Buildings, type of construction, use of building in many cases, present day Actual Cash Value or Replacement Cost. Correspondence pertinent thereto, including square foot area, photographs, diagrams, maps etc. These are working detailed files from which we make up our Compilation of Insurance Values. Retain until inactive. | Paper | 11/19/1975 | Retain Until Inactive | 0 | No Retention 0 | Destroy Current |
| Schedule #: 147 2#:Insurance Policies and Related Material Insurance coverages provided for the State, such as Automobile, Fire, Bond, Boiler also various other types as required, and related materials including policies, endorsements, correspondence etc. | Paper | 6/3/1992 | Years 4 | Years 17 | Destroy | Current |
| Schedule #: 722 6#:Insurance Premium Allocations Data used to determine the cost of coverage for state agencies. | Paper | 2/13/1989 | Years 7 | No Retention 0 | Destroy | Current |
| Schedule #: 989 7#:Subrogations | | | | | | |

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| When Risk Management Division makes payment to an insured for loss, the Risk Management Division takes over the insured's right to collect damages from any other person responsible for the loss. The Risk Management Division is "subrogated" to the insured's rights of recovery. The process of recovering is called "subrogation." In short, subrogation shifts the ultimate cost of a loss to the party most responsible for causing the loss. Files include: Automobile loss notice, accident information and related correspondence, | Paper | 6/3/1992 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 989 8#:Correspondence | | | | | | |
| Director's letters and memoranda: including: letters of transmittal: letters providing general safety information; letters concerning claims (which may have preliminary damage reports attached) highlight reports (a brief report to Director of General services concerning Risk Management activities); monthly statistics. | Paper | 6/3/1992 | Years 1 | No Retention 0 | Destroy | Current |
| Schedule #: 989 9#:Insurance Value Compilation | | | | | | |
| Function and purpose: To identify what properties are insured by our policies insurance. Files include: summary of property insurance values, state of Maine property index and compilation on insurance values. | Paper | 6/3/1992 | Years 4 | Years 17 | Destroy | Current |
| Schedule #: 1196 10#:Otherwise Unspecified Paid Claim Files | | | | | | |
| A claim file is information gathered about an incident or accident. It includes information about the parties involved, the damage, billings, correspondence, investigations. This information is gathered in anticipation of litigation. Files include: property Damage Reporting form, Loss Coding form and related correspondence. | Paper | 2/28/1996 | Years 3 | No Retention 0 | Destroy | Current |
| Schedule #: 1196 11#:Liability Claim Files and Experience Records | | | | | | |
| A claim file is information gathered about an incident or accident. It includes information about the parties involved, the damage, billings, correspondence, investigations. This information is gathered in anticipation of litigation. Files include: Foster Parent, Inland Marine claims, Statements of fact; Invoices; Loss Coding form; Settlement Payment of Claim and related correspondence, also loss experience records by departments. Title and description changed by David Fitts, Director of Risk Management. | Paper | 2/28/1996 | Years 3 | Years 3 | Destroy | Current |

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| Schedule #: 1584 13:Photographs of State Buildings | | | | | | |
| Photos of State Buildings are used for insurance purposes. They show the insurance company what is being insured, and in the event of a loss, are used to agree upon the dollar value of damages. For these reasons, facilities are regularly photographed and retained until they are updated or the building is disposed of. * Deliver One digital copy of the current images and related database to the Archives by January 15, of each even numbered year, beginning in 2004. | Hard Disk | 5/5/2003 | Contingent Upon Event - See Description | 0 | No Retention | 0 Archives Current |
| 185#:State Claims Commission | | | | | | |
| Schedule #: 974 1A:Property Tax Appeal Case Files | | | | | | |
| Primary files consists of appeals brought by individual property owners challenging the tax assessments placed on their property by the local municipality. Additional files consists of appeals brought by municipalities against the Bureau of Taxation concerning annual State Valuations. Files include: various correspondence, petition, response, numerous exhibits, appraisal reports, transcripts (in some cases). Decisions are the rendering of the State Board of Property Tax Review on all tax appeal cases and are final. Decisions are to be separated from case files for transfer to Archives. | Paper | 12/31/1996 | Years | 0 | Years 3 | Destroy Current |
| Schedule #: 974 1B:Property Tax Appeal Decisions | | | | | | |
| Primary files consists of appeals brought by individual property owners challenging the tax assessments placed on their property by the local municipality. Additional files consists of appeals brought by municipalities against the Bureau of Taxation concerning annual State Valuations. Files include: various correspondence, petition, response, numerous exhibits, appraisal reports, transcripts (in some cases). Decisions are the rendering of the State Board of Property Tax Review on all tax appeal cases and are final. Decisions are to be separated from case files for transfer to Archives. | Paper | 1/15/1992 | Years | 3 | No Retention | 0 Archives Current |
| 350#:State Employee Health Commission | | | | | | |
| Schedule #: 470 1A:Health Applications | | | | | | |
| Contains applications, conversion letters, carrier certification. Prudential approval or denial, related material. | Digital File | 10/22/2014 | Years | 10 | No Retention | 0 Destroy Current |

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| Schedule #: 470 7#:Health/Dental Correspondence | | | | | | |
| Letters and memorandums to employees,payroll/personnel/business managers,regarding health and dental | Digital File | 10/22/2014 Years | 5 | No Retention 0 | Destroy | Current |
| Schedule #: 470 9#:Dental Applications | | | | | | |
| Dental Applications - for new employees and for changes (NED 104/V/83) | Digital File | 10/22/2014 Years | 10 | No Retention 0 | Destroy | Current |
| Schedule #: 635 10#:COBRA - Health | | | | | | |
| Group Transmittal form (039065 RT/84); Group Application for change; +19 conversion letter; Blue Cross - Blue Shield application; Prudential Evidence of Insurability; Approval/Denial sheet (GRP 74429A) and related maTerial; Beneficiary Election From to Continue Group Coverage. Dental application/transmittals processed for terminated emp[loyees; overage children, divorced spouses, Beneficiary Election Form to Continue Group Coverage. This series combines previously approved 10P and 11P. | Paper | 6/17/1994 Years | 3 | Years 3 | Destroy | Current |
| Schedule #: 892 15#:Agenda & Minutes: Employee Health Commission & Board of Trustees | | | | | | |
| The Employee Health Commission replaced the Board of Trustees. The function of this commission is to be an advisory board to the Exectutive Director of the Employee Health Insurance Program. | Paper | 11/21/1990 Years | 2 | No Retention 0 | Archives | Current |
| Schedule #: 892 16#:Approved Exception Requests/Health & Dental | | | | | | |
| Correspondence done to reinstate, make plan changes or cancel contracts for dates other than current effective dates. | Digital File | 10/22/2014 Years | 5 | No Retention 0 | Destroy | Current |
| Schedule #: 892 17#:Volunteer Cost Savings Program | | | | | | |
| Documentation monitoring participants in the voluntary cost savings programs;such as: retirement, unpaid leave of absence, and reduced work week. The Bureau of Employee Health monitors these programs as they may impact individual employee benefits. | Paper | 11/21/1990 Years | 2 | Years 3 | Destroy | Current |

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|--|-------|-----------------|---------------------|----------------------|-------------|---------|
| Schedule #: 1090 18#:Reports - Dental Claims Experience & Summary Pages Monthly computer printout of Dental cost history and summary. | Paper | 3/15/1994 Years | 2 Years | 5 Years | Destroy | Current |
| Schedule #: 1090 19#:Reports - Dental Administrative Fee - Picture Frames Computer printout broken down by group, coverage, department, etc. Picture frame monthly show state contribution and employee contribution totals. | Paper | 3/15/1994 Years | 2 Years | 10 Years | Destroy | Current |
| Schedule #: 1090 20#:Reports - Dental Membership Reports Monthly computer printout tallying number of members by group. | Paper | 3/15/1994 Years | 2 Years | 5 Years | Destroy | Current |
| Schedule #: 1090 21#:Reports - Health Claims Experience Loss ratio from Health Insurance claims. | Paper | 3/15/1994 Years | 2 Years | 5 Years | Destroy | Current |
| Schedule #: 1090 22#:Reports - Health Administrative Report, Summary Pages Computer printout broken down by department, group, coverage, etc. monthly. Summary sheet shows monthly state contribution and employee contributions totals. | Paper | 3/15/1994 Years | 2 Years | 10 Years | Destroy | Current |
| Schedule #: 1090 23#:Reports - Health Membership Report Total active contracts for state government, coverage series, group. | Paper | 3/15/1994 Years | 2 Years | 5 Years | Destroy | Current |
| Schedule #: 1090 24#:Reports - Drug - Quarterly Mail Service Report Report of perescription drug claims with percent dispensing, generic savings calculation, potential savings calculation. | Paper | 3/15/1994 Years | 2 Years | 5 Years | Destroy | Current |

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|---|-------------------|--------------|---------------------|----------------------|-------------|-----------------|
| Schedule #: 1675 25:Deferred Compensation | | | | | | |
| The State of Maine offers a 457b Deferred Compensation Plan, which is a method for active employees of putting money aside without having to pay income taxes on it, or on the income it earns, until retirement. These biweekly contributions are withheld directly from the employee's payroll. The Deferred Compensation program supports all state agencies whose employees choose to enroll in one of the three different investment plans, Hartford, ING, AIG Valic. Our office is the primary record keeper for all documents which pertain to any and all Deferred Compensation investment groups. Our office process all payroll changes which use the Joinder Agreement forms. Once an employee decided to enroll in the Deferred Compensation Plan, we are the sole keepers of the records until the account is closed and no funds remain. Because of this we also may have accounts that belong to beneficiaries or divorced spouses. All state employees have the option of withdrawing funds prior to retiring under an Unforeseen Emergency. It is one of the responsibilities of our agency to sign off on all of the Unforeseen Emergency application and forward them to the appropriate investment plan carriers. Once an employee separates from State service, the former employee/retiree has many options (i.e. rollover, partial/full distribution, systematic withdrawal options, etc.).. There is a death benefit under this plan, therefore beneficiary data is also maintained through our office (as the official record keeper).. You could find within each file Joinder Agreements, Qualifying Rollover Contribution applications, Distribution Election Applications, Carrier to Carrier Transfer Requests, Confirmation Statements and miscellaneous documentation | Paper | 3/14/2008 | Years 1 | Years 3 | Destroy | Current |
| <hr/> | | | | | | |
| 364#: State Liquor and Lottery Commission | | | | | | |
| Schedule #: 130 10#:General Correspondence | | | | | | |
| Requests for information, complaints, suggestions for improving games, and letters of acknowledgment. | Paper | 1/30/1975 | Years 2 | No Retention | 0 | Destroy Current |
| <hr/> | | | | | | |
| Schedule #: 130 2#:Ticket Accounting Closing | | | | | | |
| Shows total of bank deposit and each agent's financial activity relating to tickets sold, tickets retained, payments to winners, commissions retained and money deposited. Also, bank summary and agent reports. | Computer Printout | 1/30/1978 | Years 2 | Years 3 | Destroy | Current |
| <hr/> | | | | | | |
| Schedule #: 130 5#:Ledgers - Lottery | | | | | | |

Department Series Report

18: Administrative & Financial Services

| Description | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status |
|---|-------|-----------------|---------------------|----------------------|-------------|---------|
| Subsidiary ledger of cash and transit accounts, accounts receivable and payable and the general ledger. | Paper | 7/2/1975 Years | 5 | No Retention 0 | Destroy | Current |
| Schedule #: 130 6#:Discrepancy Folders - Lottery | | | | | | |
| Error information on ticket accounting closing. | Paper | 7/2/1975 Years | 2 | No Retention 0 | Destroy | Current |
| Schedule #: 130 7#:Claim Form - Lottery | | | | | | |
| Claim form submitted with winning ticket for amounts over \$50; prizes paid by licensed sales agents in amounts under \$50 without a claim form. Both Instant Game Tickets and Weekly Game Tickets. | Paper | 1/30/1975 Years | 2 | Years 3 | Destroy | Current |
| Schedule #: 130 8#:Weekly Activity Reports | | | | | | |
| Field men activities for a given week. | Paper | 1/30/1975 Years | 2 | No Retention 0 | Destroy | Current |
| Schedule #: 130 9#:Sales Analysis | | | | | | |
| Computer printout showing sales by agents by regions, and by chain stores. | Paper | 1/30/1975 Years | 2 | No Retention 0 | Destroy | Current |
| Schedule #: 303 11#:Claim Form - Under \$50 | | | | | | |
| Instant Game & Weekly Game Tickets serve as a claim form. Prizes are paid by licensed sales agents in amounts under \$50 to claimants, when presented with a signed winning ticket. | Paper | 10/1/1980 Years | 1 | No Retention 0 | Destroy | Current |
| Schedule #: 1062 12#:System Reports | | | | | | |
| Daily and weekly reports generated by computer used to create journal entries for sales and for determining whether systems are in balance. Journals are at Financial Services. Retain current year plus one. | Paper | 9/3/1993 Years | 2 | No Retention 0 | Destroy | Current |

Department Series Report

18: Administrative & Financial Services

| Description | | | Media | Last Updated | In Agency Retention | Rec Center Retention | Disposition | Status | |
|--|------|--|-------|--------------|---|----------------------|----------------|---------|---------|
| Schedule #: | 1062 | 13#:Charge Backs | | | | | | | |
| Print out of lower tier prize structure charged back to selling agent, when their tickets were cashed in at another retailers location. Copies sent to retailers. Retain current year plus one. | | | Paper | 9/3/1993 | Years 2 | No Retention 0 | Destroy | Current | |
| Schedule #: | 1062 | 14#:Instant Accounts Receivable Statements | | | | | | | |
| Billing statement to retailers telling them how much they owe the Lottery. Retain current year plus one. | | | Paper | 9/3/1993 | Years 2 | No Retention 0 | Destroy | Current | |
| Schedule #: | 1062 | 17#:Credit Requests | | | | | | | |
| Requests from vendor to ask for reimbursement from State for unsaleable tickets. | | | Paper | 9/3/1993 | Years 1 | No Retention 0 | Destroy | Current | |
| Schedule #: | 1062 | 19#:Debit/Credit Memo's | | | | | | | |
| Adjustment to accounts receivable due to inability to go through system. | | | Paper | 9/3/1993 | Years 1 | No Retention 0 | Destroy | Current | |
| Schedule #: | 1104 | 20#:Instant Lottery Inventory Control | | | | | | | |
| These records are kept to show where and which tickets go to any one of 10 regional field representatives. Files contain: Delivery manifest; pack transfer request; regional inventory transfer report; certified book; UPS shipment book; Maine Delivery Service. Keep in Agency 6 months then destroy. | | | Paper | 6/15/1994 | Retention of Less than 1 Year - See Description | 0 | No Retention 0 | Destroy | Current |